

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS**

Application No. 07-09
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**STATE OF ILLINOIS
STATE RECORDS COMMISSION**

STATE RECORDS UNIT
ILLINOIS STATE ARCHIVES
SPRINGFIELD, IL 62756
(217)782-2647

AGENCY

Southern Illinois University - Edwardsville

DIVISION

Provost and Vice Chancellor for Academic Affairs

SUBDIVISION

Pursuant to the provisions of the *State Records Act* (5 ILCS 160/1 et seq.), I hereby request authority to dispose of state government records according to the schedule which follows. I certify that those records to be disposed of will not be needed in the transaction of current business nor will they be of sufficient administrative, legal, or fiscal value to warrant further retention by this agency. I also certify that any microfilm or digitized copies will be made in accordance with the standards of the State Records Commission and will be adequate substitutes for the original records.

SIGNATURE OF AGENCY HEAD

DATE

ACTION TAKEN BY
THE
STATE RECORDS
COMMISSION

David A. Joens

CHAIRMAN

Thomas F. Schwartz, by G.S.

SECRETARY

August 20, 2008

DATE

RECORDS LISTED ON THIS APPLICATION MAY BE DISPOSED OF PROVIDING:

- the individual retention period is complete;
- all audits have been completed under the supervision of the Auditor General and no litigation is pending or anticipated;
- the items are correctly listed on a Records Disposal Certificate submitted to and approved by the State Records Commission 30 days prior to disposal.

Certain records, as stipulated on this application, may be microfilmed or digitized and the original hardcopy record disposed of if the record is microfilmed or digitized in accordance with the standards of the State Records Commission Rules and if the film or digitized copy is retained for the prescribed retention period. **Disposal of records after microfilming or digitizing must be noted on a Records Disposal Certificate.**

**THIS APPLICATION AND ANY RELATED RECORDS DISPOSAL CERTIFICATES
ARE TO BE RETAINED PERMANENTLY.**

**APPLICATION FOR AUTHORITY
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Item No.	Record Series Title, Description and Recommendation	Action Taken
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Definitions:

“Routine documents” (for all applicable record series items) are defined as:

- Extra copies of documents, blank forms, or reports preserved only for ease of reference or for supply purposes, where one copy has been retained for record purposes;
- letters of transmittal and acknowledgement;
- Non-personally addressed, unsolicited correspondence and communications that originate outside of the department, such as “Deans and Directors” memoranda;
- Requests for publications or information after the requests have been filled;
- Replies to questionnaires, where the summary results have been retained for record purposes,
- Material not filed as evidence of administrative activity or for the informational content thereof, Including
 - Working notes, where a final report has been issued
 - Documents regarding regular office functions, such as correspondence requesting supplies, scheduling meetings, or informing others of an employee absence, where a record copy of financial or personnel actions is retained in another record series.

“In a secure manner” (for all applicable record series items)

- By shredding or other destructive methods, so that personally-identifiable information, including but not limited to social security numbers, credit card numbers, other account numbers, addresses, or other sensitive information is not legible; or
- By placing in locked campus recycling services containers for the collection and destruction of sensitive documents; or
- By arranging for the direct pickup and recycling of documents by campus recycling/facilities and services staff.”

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
EXECUTIVE OFFICE

110.001 Academic Program Administration Files and Institutional Reports (Agency Record Copies)

Dates: 1980 -
Volume: 75 Cu. Ft.
Annual Accumulation: 4 1/2 Cu. Ft.
Arrangement: Chronological/Alphabetical by subject

This series contains a range of documentation which pertains to entities, activities, and/or programs instituted for the university's advancement of its academic mission and goals. Documents, issues, or entities contained or referenced within the series include: HEGIS Reports, RAMP Reports, Staff Year Studies; Board of Trustee Meeting Synopses; various administrative reports, such as department activity reports, Summer School Profiles, Faculty Load Reports, catalog compilation papers, Graduate Reviews, Retention Studies, Fee Surveys and Projections, and Unit Cost Studies; university or university associated committee/organization meeting minutes or summaries, which cover such entities as University Self-Study Committees, the Planning and Budget Council, the American Council on Education, the National Education Association, the Faculty Organization for Collective Bargaining, the National Research Council, National Collegiate Athletic Association, the National and Illinois Associations for Institutional Research, the Northcentral Association of Colleges and Schools, the Higher Education Coordinating Council, the American Association of State Colleges and Universities, and the National Association of State University and Land Grant Colleges; and all pertinent correspondence and/or memoranda.

Recommendation: Retain in office for five (5) years, or until expiration of administrative value, whichever is longer, then transfer to the University Archives. University Archives staff is to review all accumulations transferred accordingly then dispose of all routine documents after retaining all other record series items permanently.

**Disposition
Approved
8/20/08**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
110.002	Sabbatical Files (Agency Record Copies)	
	Dates: 1979- Volume: 2 Cu. Ft. Annual Accumulation: Negligible. Arrangement: Chronological/Alphabetical	
	This series consists of applications for sabbatical leaves and statements of purpose.	
	Recommendation: Retain in office for five (5) years, or until expiration of administrative value, whichever is longer, then transfer to the Human Resources Office to be placed in the respective faculty member's personnel file for sixty-five (65) years after last date of employment.	Disposition Approved 8/20/08
110.003	Academic Program Form 90's (Originals)	
	Dates: 1985- Volume: 2 Cubic Feet Annual Accumulation: Negligible Arrangement: Chronological	
	This record series consists of forms used by the departments to modify or create a course offering. Included is the course name, name of instructor, description of course, type of change, syllabus and appropriate signatures.	
	SIU – Carbondale permanently maintains “Syllabus and Course Approvals per item 145 of Application 87-63	
	Duplicates are maintained throughout the academic departments under the authority of item 100.001.	
	Recommendation: Retain for five (5) years, then transfer to the University Archives for permanent retention.	Disposition Amended 8/20/08

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
ASSOCIATE PROVOST
LEARNING SUPPORT SERVICES

115.001 Summer Bridge Program Prospective Student Files

Dates: 2001-
Volume: 10 Cubic Feet
Annual Accumulation: 1 Cubic Feet
Arrangement: Chronological by year/alphabetical by student

The Summer Bridge Program is an on-campus experience that allows freshmen students who have already been accepted by the University to experience the Southern Illinois University Edwardsville environment prior to the initial fall term. The program, through structured and integrated activities, prepares students to meet the demands of college and bridge the gap between high school and college. The program highlights include;

- 1) Intensive review in math, reading and writing
- 2) Orientation to the University, study strategies, and student leadership development
- 3) One-on-One instruction and tutoring
- 4) Mentoring by an academic advisor
- 5) Interactive sessions with faculty

This record series consists of agency record copies of program student files including; applications for the Summer Bridge program, placement test results, personal data sheets, copies of admission documents and award or denial letters.

Recommendation: Retain in the office for five years after the completion of the program/date of last attendance (for accepted students) or five (5) years after the date of the issuance of the letter of denial (for denied students), then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition
approved
9/21/11**

**APPLICATION FOR AUTHORITY
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Item No.	Record Series Title, Description and Recommendation	Action Taken
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**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
EXCELLENCE IN LEARNING AND TEACHING**

120 Series

**APPLICATION FOR AUTHORITY
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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
UNDERGRADUATE ASSESSMENT AND PROGRAM REVIEW**

125 Series

Item No.

Record Series Title, Description and Recommendation

Action Taken

PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
INSTITUTIONAL RESEARCH AND STUDIES
OFFICE OF INSTITUTIONAL RESEARCH AND STUDIES

**130.001 Academic Discipline Unit Cost Studies and Staff Effort Reports (Originals)
(Hardcopy)**

Dates: 1964 -
Volume: 176 Cu. Ft.
Annual Accumulation: 4 Cu. Ft.
Arrangement: Chronological

This record series consists of cost reports based on each credit hour per academic discipline and grade levels of university students.

Data entries in the record series include: assignment category cost by level and function; differences between reported and weighted dollars by assignment category and level of instruction; and differences between reported and weighted dollars by assignment category and level of instruction after a fixed cost average.

Recommendation: Microfilm as generated and processed, then dispose of all microfilm source original paper. Retain office use record series microforms for six (6) years after the date of generation, then dispose of provided all audits have been completed and no litigation is pending or anticipated. . Security record series microforms are to be maintained by the University's Office of Microfilm Services for six (6) years after the date of generation, then transfer to the University Archives for permanent retention.

**Disposition
Approved
11/18/09**

130.002 Faculty Credit Hour Reports (Originals)

Dates: 1966 -
Volume: 3 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Chronological by year

This record series consists of a standard report typically compiled by all Illinois universities that details a comparative analysis of credit hours per faculty member, student grade level, and academic discipline.

Data entries in the record series include faculty load statistics and weighted averages, total number of faculty staff, years and credit hours, and grade level of students.

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Item No.	Record Series Title, Description and Recommendation	Action Taken
130.003	<p>Recommendation: Retain in office for five (5) years, then transfer to the University Archive for permanent retention.</p> <p>Illinois Board of Higher Education (IBHE) Studies and Reports (Duplicates) (Hardcopy)</p> <p>Dates: 1979 - Volume: 6 Cu. Ft. Annual Accumulation: Negligible Arrangement: Chronological by year</p> <p>This record series consists of studies and administrative reports compiled by the Illinois Board of Higher Education. The record series is formatted as supplemental data (e.g., charts, graphs, tables, illustrations), and the written reports (e.g., salary increase studies, expenditure costs). Originals are maintained by the Illinois Board of Higher Education.</p>	<p>Disposition Approved 11/18/09</p>
130.004	<p>Recommendation: Retain in office for five (5), then transfer to the University Archives for permanent retention.</p> <p>Illinois Board of Higher Education Technical Questions and University Responses (Duplicates) (Hardcopy)</p> <p>Dates: 1985 - Volume: 2 Cu. Ft. Annual Accumulation: Negligible Arrangement: Chronological by year</p> <p>This record series consists of written questions received from the Illinois Board of Higher Education to compile appropriation requests. Contents in the record series include fiscal year reports, memos, survey questions posed by the Board of Higher Education, and responses to questions from the university.</p>	<p>Disposition Approved 11/18/09</p>
	<p>Recommendation: Retain in office for five (5) years, then transfer to the University Archives for permanent retention.</p>	<p>Disposition Approved 11/18/09</p>

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Item No.	Record Series Title, Description and Recommendation	Action Taken
130.009	<p>Recommendation: Microfilm as generated and processed, then dispose of all microfilm source original paper. Retain office use record series microforms for six (6) years, then dispose of provided all audits have been completed and no litigation is pending or anticipated. Security record series microforms are to be maintained by the University's Office of Microfilm Services for six (6) years, then transfer to the University Archives for permanent retention.</p> <p>Support Function Reviews (Originals) (Hardcopy)</p> <p>Dates: 1982 - Volume: 4 Cu. Ft. Annual Accumulation: Negligible Arrangement: Chronological by year</p> <p>This record series, produced in conjunction with Resource Allocation Management Plans, consists of a report that summarizes student services, public services, academic support, institutional programs, organized research, institutional support, and operation and maintenance of physical plant by the Illinois Board of Higher Education. In conjunction with the Revenue Allocation Management Plan (RAMP), the above functions are reviewed every five (5) years.</p> <p>Recommendation: Microfilm as generated and processed, then dispose of all microfilm source original paper. Retain office use record series microforms for six (6) years, then dispose of. Security record series microforms are to be maintained by the University's Office of Microfilm Services for six (6) years, then transfer to the University Archives for permanent retention.</p>	<p>Disposition Approved 11/18/09</p> <p>Disposition Approved 11/18/09</p>

130 Series

Item No.

Record Series Title, Description and Recommendation

Action Taken

PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
ASSOCIATE PROVOST

135.001 Honors Scholars' Files

Dates: 1998-
Volume: 4 Cubic Feet
Annual Accumulation: ¾ Cubic Feet
Arrangement: Alphabetical by Student

The Honors Scholars Program was established to help outstanding students plan individualized academic programs. It enables talented students from all disciplines to study in one or two academic areas in depth, or to explore a variety of courses outside their major. The program files include the original applications, evaluations, letters of reference, copies of transcripts, and all related correspondence and supporting documents.

Recommendation: Retain in the office for five (5) years following the date of submission of the original application or separation from the university or date of graduation whatever is later, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition
approved
as amended
12/19/12**

135.002 Meridian Scholars' Files

Dates: 1997-
Volume: 2 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

The Meridian Scholars Program is a premier program offering scholarships to students with strong academic ability and a record of personal achievement, leadership, service and special talents. Valedictorians, salutatorians, and other top students who have earned at least a 27 ACT or 1200 SAT score and at least a 3.75 high school grade point average or rank in the top 10% of their high school graduating classes compete for this award. An applicant must be an entering freshman and the applicant files must include: an application for undergraduate admission (by December 1st); the Meridian Supplemental Profile (by December 1st); copies of ACT or SAT scores; an official copy of his/her high school transcript indicating class rank at the end of the sixth semester or later. The files may also include additional supporting documents and related correspondence.

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Recommendation:

Retain in the office for five (5) years following the date of submission of the original application, expiration of the scholarship, or date of graduation whatever is later, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition
approved
12/19/12**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF BUSINESS
DEAN'S OFFICE

**200.001 Faculty Evaluation by the Executive Committee of the Business School
(Duplicates)**

Dates: 1979-
Volume: 2 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological by year

This record series consists of letters of appraisal by the chairperson, recommendations from peers and faculty service packets (i.e., showing research accomplishments, teaching goals, co-curricular service achievements, etc.)

Originals are maintained in the respective department within the School of Business for five (5) years following termination of employment of the respective faculty member(s).

Original Personnel Files of Faculty containing evaluative data are maintained by the agency's Human Resources Office for sixty-five (65) years.

Recommendation: Retain in office for five (5) years following termination of employment of the respective faculty member(s), then destroy in a secure manner providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved as
Amended
8/20/08**

200.002 Outside Employment Reports (Duplicates)

Dates: 1982-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological by year, Alphabetical by topic

This record series consists of documents which verify faculty earnings from sources outside the institution.

Data include name of faculty, address of employment, description of job duties, dates of employment, total time of employment, and total income.

Originals are maintained in the Provost's Office.

Recommendation: Retain in office for five (5) years following termination of employment, then destroy in a secure manner providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved as
Amended
8/20/08**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF BUSINESS
BUSINESS ADVISEMENT
SUPPORT UNIT

215.001 Files of Denied Graduate Degree Candidates

Dates: 1987-
Volume: 11 Cubic Feet
Annual Accumulation: 1 Cubic Feet
Arrangement: Chronological by year, Alphabetical by topic

This record series consists of files pertinent to prospective graduate degree candidates who were denied admission into the graduate program of the School of Business.

Contents include copies of transcripts, screening forms with denial indications, entry scores, personal history data, and advisement information.

Recommendation: Retain in office for five (5) years from date of denial, then destroy in a secure manner providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved as
Amended
8/20/08**

215.002 Graduate Management Admission Test Scores (Record Copies)

Dates: 1982-
Volume: 15 Cubic Feet
Annual Accumulation: 1 Cubic Feet
Arrangement: Alphabetical by name

This record series consists of test scores which are used by the School of Business to accept/reject students into the graduate program.

Originals are maintained by the ETS (Educational Testing Service).

Recommendation: Retain in office for five (5) years, then destroy providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
8/20/08**

**APPLICATION FOR AUTHORITY
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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF BUSINESS
ACADEMIC UNITS
ECONOMICS AND FINANCE DEPARTMENT**

220 Series

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF BUSINESS
ACADEMIC UNITS
MANAGEMENT AND MARKETING

230.001 Foundation Account Files

Dates: 1995-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of records of foundation donation including deposits, monthly balances/payments, etc.

Recommendation: Retain in office for three (3) years then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Amended
8/20/08**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF BUSINESS
ASSOCIATE DEAN AND MBA OFFICE

240.001 Reports of Graduate Student Academic Plans for Advisement (Duplicates)

Dates: 1980-
Volume: 2 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological by year

This record series consists of documents used by graduate students to request changes in academic plans (i.e., curriculum, schedules, theses, etc.).

Data may include name of student, phone, date, address, major department, degree sought, type of request, and authorized signatures (e.g. major adviser, Graduate Program Director, Graduate, Dean, Associate Dean).

Originals are incorporated in the student files.

Recommendation: Retain in office for five (5) years following graduation or last date of attendance of the respective student(s), then destroy in a secure manner providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved as
Amended
8/20/08**

APPLICATION FOR AUTHORITY
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Item No.

Record Series Title, Description and Recommendation

Action Taken

PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF BUSINESS
ACADEMIC UNITS
COMPUTER MANAGEMENT AND INFORMATION SYSTEMS

245 Series

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF BUSINESS
OFF CAMPUS MBA PROGRAM**

250 Series

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF BUSINESS
PROFESSIONAL EXPERIENCE PROGRAMS (PEP)

255.001 Requests for Declaration of Major (Duplicates)

Dates: 1991-
Volume: ½ Cubic Feet
Annual Accumulation: Negligible
Arrangement: Alphabetical by name

This record series consists of documents used by students in establishing a college major necessary for graduation requirements.

Originals are maintained by the students' areas of academic advisement

Recommendation: Retain in office for five (5) years following graduation or last date of attendance, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Amended
8/20/08**

255.002 “Rising Junior Papers” (Originals)

Dates: 1990-
Volume: 10 Cubic Feet
Annual Accumulation: 1 Cubic Feet
Arrangement: Chronological by year, Alphabetical by name

This record series consists of essays submitted by students who are complying with course-requirements within the School of Business.

Recommendation: Retain in office for five (5) years following graduation or last date of attendance then dispose of, providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Amended
8/20/08**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF BUSINESS
OFFICE OF TECHNOLOGY AND COMMERCE

260.001 Client Files

Dates: 1986-
Volume: 12 Cubic Feet
Annual Accumulation: 2 Cubic Feet
Arrangement: Alphabetical by name

This record series consists of files summarizing the development of businesses/products as supported by the Office of Technology and Commerce.

Contents include brochures, promotional materials, progress reports, relevant service contracts, and supporting correspondence. (The service contracts between the university and the external entities are renewed at various intervals)

Recommendation: Retain in office for five (5) years then transfer to the University Archives. University Archives staff is to review all accumulations transferred accordingly and dispose of all routine documents after retaining all other record series items permanently.

**Disposition
Amended
8/20/08**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF BUSINESS
ROTC

265.001 Illinois State Scholarship Tuition Waiver Files (Originals)

Dates: 1995-
Volume: 3 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of original state scholarship tuition waiver files for the ROTC participants at SIU-E. Files include applications, transcripts, interview sheets, award letters, accept/decline forms, correspondence, and related documentation.

Recommendation: Retain in office for five (5) years, then dispose of in a secure manner provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated

**Disposition
Approved as
Amended
8/20/08**

265.002 Illinois State Scholarship (ROTC) Files (Originals)

Dates: 1995-
Volume: 3 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of documentation retained on the Illinois State Scholarship Program (for ROTC) including: applications, transcripts, interview sheets, award letters, selective service records and any related correspondence. The actual tuition reimbursements are processed through the University's Office of Financial Affairs.

Recommendation: Retain in the office for thirty (30) years after graduation or date of last attendance, then dispose in a secure manner providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved as
Amended
8/20/08**

APPLICATION FOR AUTHORITY
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265.003 Illinois State Scholarship (ROTC) Files

Dates: 1995-
Volume: 3 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of original documentation retained on the Illinois State Scholarship Program (for ROTC) including: applications, transcripts, interview sheets, award letters, selective service records and any related correspondence. The actual tuition reimbursements are processed through the University's office of Financial Affairs.

This item supersedes item 265.002 of State Records Application 07-09 in order to reduce the length of the retention period from thirty (30) years to five (5) years after graduation or date of last attendance, provide for media neutral disposition of the records, and add "account write-off" language to the recommendation per agency request. Original "Student Financial Aid Case Files" are maintained by the Office of Student Financial Aid and Student Employment for a period of five (5) years following date of graduation or date of last attendance per item 2000.002 of State Records Application 07-09).

Recommendation: Retain files for accepted applicants in office for five (5) years following graduation or last date of attendance, whichever is later, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

Retain files for rejected applicants in office for five (5) years following the date of rejection, then destroy in a secure manner or delete from system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition
approved
2/17/16**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF BUSINESS
SUPPORT UNITS
DEVELOPMENT

270 SERIES

270.002 Scholarship Application Files (Accepted and Rejected)

Dates: 2004-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of files which indicate successful and unsuccessful candidates applying for scholarships throughout the School of Business. The files include annual applications, student essays, referral letters, resumes and any related correspondence.

Recommendation: For accepted applicants, retain files for five (5) years following graduation or last date of attendance, whichever is later, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated. Retain files for rejected applicants for five (5) years following the date of rejection, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition
approved
3/16/16**

270.003 School of Business Hall of Fame Files

Dates: 2006-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological

The Hall of Fame committee selects a School of Business alumni applicant to be a member of its Hall of Fame. This record series consists of lists of committee members, committee recommendations for selection, applicant information, resumes, and supporting documentation.

Recommendation: Retain files of non-selected applicants for five (5) years after the date of selection, then destroy in a secure manner or delete from the system provided all audits

**Disposition
approved
3/16/16**

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have been completed, if necessary, and no litigation is pending or anticipated. Retain files of selected applicants in office until administrative use is complete, then transfer to the University Archives for permanent retention.

270.04 Illinois Small Business Development Center (SBDC) Client Files

Dates: 2007-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological

The Illinois Small Business Development Center was created to provide counseling and assistance to small business owners and those planning to go into business. The file series contents include a Request for Consultation form (e.g. client intake data, name/type of business, type of assistance being sought) counseling notes, business plans, financials and other supporting documentation of business owners and prospective business owners.

Recommendation: Retain for seven (7) years after the date of the last counseling session, then destroy in a secure manner or delete from system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition
approved
3/16/16**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF BUSINESS
SUPPORT UNITS
INTERNATIONAL PROGRAMS**

275 SERIES

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF BUSINESS
ACCOUNTING**

290 SERIES

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF EDUCATION
DEAN'S OFFICE

300.001 Doctoral Dissertations (Bound Copies)

Dates: 1977- 2012
Volume: 5 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Alphabetical by student

This record series consists of copies of student doctoral dissertations. These records are used for reference purposes. The library also maintains copies.

Recommendation: Retain in office for ten (10) years, then transfer to the University Archives for permanent retention.

Disposition Amended 8/20/08

300.002 Operating Papers

Dates: 1969-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of a report describing how the School of Education operates and how it is administered. Amendments to the original operation papers are included.

Recommendation: Retain in office for five (5) years, then transfer to the University Archives for permanent retention.

Disposition Amended 8/20/08

Item No.

Record Series Title, Description and Recommendation

Action Taken

PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF EDUCATION
STUDENT SERVICES

305.001 Teacher Certification Candidate Notifications (Agency Record Copies)

Dates: 1985-
Volume: 6 Cubic Feet
Annual Accumulation: ½ Cubic Feet
Arrangement: Chronological

This record series consists of notifications to the Illinois State Board of Education that students are scheduled for completion of the certification programs and services that are prerequisites for their formal application for certification.

The original notification is received by the State Board.

The notification list students, last four social security numbers, programs completed, and degrees.

Recommendation: Retain in office for five (5) years after graduation or last date of attendance of the respective student(s), then destroy in a secure manner providing no litigation is pending or anticipated.

**Disposition
Approved as
Amended
8/20/08**

305.002 Pre-Student Teaching Clinical Experience Records

Dates: 1979-
Volume: ½ Cubic Feet
Annual Accumulation: Negligible
Arrangement: Alphabetical by student

This record series consists of records of pre-clinic observation hours experience for student teachers.

Data includes the student's name, student identification number, semester, major and all courses and hours taken in the field of the student's major.

The purpose of the record is to provide convenience reference to teachers' pre-clinic experience.

Recommendation: Retain in office for five (5) years after graduation or date of last attendance of the respective student(s), then

**Disposition
Amended**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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destroy in a secure fashion, providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

8/20/08

305.003 Student Advisement Files

Dates: 1990-
Volume: 100 Cubic Feet
Annual Accumulation: 10 Cubic Feet
Arrangement: Alphabetical by student

This ITEM 305.003 CANCELLED. SEE ITEM 305.003A of this application.

This record series consists of the advisement files for education students working toward teaching certification. Files include copies of student program forms, program for certification forms, transcripts, request for majors, and certification and advisement forms.

Recommendation: Microfilm as generated or processed, then dispose of the hardcopy in a secure fashion. Retain all record series microforms for fifty (50) years lapsed from the date of generation, then destroy in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Amended
8/20/08**

305.003A Student Advisement Files (Originals)

Dates: 1990-
Volume: 100 Cubic Feet
Annual Accumulation: 10 Cubic Feet
Arrangement: Alphabetical by student

This record series consists of the advisement files for education students working toward teaching certification. The files include copies of student program forms, program for certification forms, transcripts, requests for majors, and certification and advisement forms. A student's pre-certification "blue packet" is included in the record series item. The "blue packet" includes student teaching credentials for (blue), eligibility authorization form (green), graduation checks, program and endorsement sheets, any correspondence with students, log sheets, criminal conviction forms, test results (basic skills, subject matter, APT), placement letters, evaluation other advisors, student teaching evaluations, most recent copies of transcripts, clock hours, other program applications, and TB test

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results.

This item supersedes item 305.003 of State Records Application 07-09 in order to reduce the retention period from fifty (50) years to five (5) years, eliminate microfilming and revise the record series description per agency request.

Recommendation: Retain in the office for five (5) years after graduation or date of last attendance, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition
approved
9/21/11**

305.004 Student Teaching Records (Originals)

Dates: 1989-
Volume: 44 Cubic Feet
Annual Accumulation: 2 Cubic Feet
Arrangement: Alphabetical by student

This record series consists of records of students who have completed the teacher education programs and their student teaching requirements. The file information includes the student's name, social security number, major, degree, clock hour verification, student teaching assignment, cooperating teacher information and student term's entitlement notification that is sent to the Illinois State Board of Education

Recommendation: Retain in office for fifty (50) years after graduation or date of last attendance, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition
approved
9/21/11**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
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305.005 Cooperating Teacher Scholarship Tuition Waivers

Dates: 2000-
Volume: 1 Cubic Foot
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of tuition waivers for cooperating teachers who were assigned SIU-E students in the teacher education program. The waiver includes the name of person using the waiver, course number, course title, semester, SIU-E student identification number, social security number, school district name and number, certificate type and number, date, and district administrator approval.

Recommendation: Retain in the office for two (2) years after expiration date of the tuition waiver or completion of the course work covered by the tuition waiver whichever is later, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition
approved
as amended
6/19/13**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF EDUCATION
ACADEMIC UNITS
TEACHING AND LEARNING

310.001 Student Records

Dates: 1995-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of departmental copies of student summary data reports.

Recommendation: Retain in office for five (5) years and the completion of all audits under the supervision of the Auditor General, if necessary then transfer to the University Archives. University Archives staff is to review all accumulations transferred accordingly and dispose of all routine documents after retaining all other record series items permanently.

**Disposition
Amended
8/20/08**

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TO DISPOSE OF STATE RECORDS
(continued)

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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFIARS
SCHOOL OF EDUCATION
TEACHING AND LEARNING
READING CENTER

315.001 Clinic Files

Dates: 1990-
Volume: 15 Cubic Feet
Annual Accumulation: 1 ½ Cubic Feet
Arrangement: Chronological

This record series consists of the Reading Center's clinic files including parent/teacher forms, copies of testing materials, diagnostic reading reports, and related correspondence/memoranda.

Recommendation: Retain in office for five (5) years and the completion of all audits under the supervision of the Auditor General, if necessary then transfer to the University Archives. University Archives staff is to review all accumulations transferred accordingly and dispose of all routine documents after retaining all other record series items permanently.

**Disposition
Amended
8/20/08**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF EDUCATION
EDUCATIONAL LEADERSHIP

320.001 Evaluations of the University's President and Vice Chancellors (Department Copies)

Dates: (1986- 1994)
Volume: 2 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

Evaluations are performed by a special committee appointed by the Faculty Senate.

Recommendation: Retain in office for five (5) years and the completion of all audits under the supervision of the Auditor General, if necessary, then transfer to the University Archives. University Archives staff is to review all accumulations transferred accordingly and dispose of all routine documents after retaining all other record series items permanently.

**Disposition
Amended
8/20/08**

320.002 Clinical Experience Files

Dates: 1994-1998
Volume: 4 ½ Cubic Feet
Annual Accumulation: Negligible
Arrangement: Alphabetical

This record series consists of documentation retained on student's clinical experience including evaluations of practices and related correspondence.

Recommendation: Retain in office for five (5) years following graduation or last date of attendance, then destroy in a secure fashion, providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Amended
8/20/08**

**APPLICATION FOR AUTHORITY
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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF EDUCATION
ACADEMIC UNITS
SPECIAL EDUCATION AND COMMUNICATION DISORDERS**

325 Series

Item No.

Record Series Title, Description and Recommendation

Action Taken

PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF EDUCATION
SPEECH-LANGUAGE HEARING CENTER

330.001 Speech/Audiology Therapy Client Files

Dates: 1975-
Volume: 13 ½ Cubic Feet
Annual Accumulation: ½ Cubic Feet
Arrangement: Alphabetical by name of client

This record series consists of a case file on each person who is taking speech or audiological therapy through the Speech and Hearing Center. The files contain the referral forms, therapy case notes, and related correspondence.

Recommendation: Retain in office for three (3) years following the last file entry, then microfilm and destroy the hardcopy in a secure fashion. Retain all record series microforms for twenty (20) years after the date of last visit, then destroy in a secure fashion provided no litigation is pending or anticipated.

**Disposition
Amended
8/20/08**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF EDUCATION
KINESIOLOGY AND HEALTH EDUCATION

335.001 SIUE Weight Management Clinic Client Files (Originals)

Dates: 2007-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Alphabetical

This record series consist of demographic and contact information on enrolled clients receiving services through the clinic. The SIUE Weight Management Program investigates different dietary, behavior, and exercise-based strategies and their effects on long-term weight management. The cornerstone of the program is the weekly lifestyle clinic, which serves as both an educational forum and a support group. All classes offered under the clinic are developed by a multi disciplinary staff of registered dietitians, exercise physiologists, and behavioral psychologists. The files include the client's intake form/application, staff notes, progress reports, final summary and related correspondence

Recommendation: Retain in the office for three (3) years following the date of last file entry, then scan and microfilm records and then destroy the hardcopy documents in a secure manner. Retain all scanned/microfilmed copies of the record series in office for twenty (20) years, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition
approved
9/21/11**

Item No.

Record Series Title, Description and Recommendation

Action Taken

PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF EDUCATION
ACADEMIC UNITS
PSYCHOLOGY

340.001 Attention and Behavior Clinic Client Files (Originals)

Dates: 2007-
Volume: 10 Cubic Feet
Annual Accumulation: 2 ½ Cubic Feet
Arrangement: Alphabetical

This record series consists of demographic and contact information of enrolled clients receiving various services through the clinic. The clinic was created under the auspices of the University's Department of Psychology to provide:

- 1) Psychological services to children, their families, and schools who seek comprehensive assessments for Attention Deficit Hyperactivity Disorder (ADHD).
- 2) Brief consultation to parents and schools for the management of inattentive, hyperactive, and disruptive behavior.

The files include the client's intake form/application, staff notes, progress reports, final summary and related correspondence

Recommendation: Retain in the office for three (3) years following the date of last file entry, then scan and microfilm records and then destroy the hardcopy documents in a secure manner. Retain all scanned/microfilmed copies of the record series in office for twenty (20) years, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition
approved as
amended
9/21/11**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF ENGINEERING
ASSOCIATE DEAN'S OFFICE**

405 Series

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF ENGINEERING
ACADEMIC UNITS
CIVIL ENGINEERING**

410 Series

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF ENGINEERING
ACADEMIC UNITS
CONSTRUCTION DEPARTMENT

415.001 “Excellence in Undergraduate Education Project” Files

Dates: 1990-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological/Alphabetical by project

This record series consists of documentation retained on the “Excellence in Undergraduate Education Project” which provides non-university funding for various educational learning projects and activities (i.e., Impact Testing, Science in Education for Elementary Education).

The files include copies of project contracts, vouchers and related correspondence.

Recommendation: .Retain in office for five (5) years and the completion of all audits under the supervision of the Auditor General, if necessary then transfer to the University Archives. University Archives staff is to review all accumulations transferred accordingly and dispose of all routine documents after retaining all other record series items permanently.

Disposition Amended 8/20/08

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF ENGINEERING
ACADEMIC UNITS
CENTER FOR ADVANCED MANUFACTURING/PRODUCTION

425.001 Client Counseling Files (Originals)

Dates: 1987-
Volume: 37 Cubic Feet
Annual Accumulation: 3 Cubic Feet
Arrangement: Alphabetical by name

This record series consists of files which document the department's counseling of individuals who are developing small businesses in manufacturing.

Contents include profile information sheets, activity records of clients, business plans, and agreements between the university and clients concerning non-disclosure pertinent to goods/services. (Agreements are renewed and expire at various intervals)

Recommendation: Retain in office for five (5) years following the expiration of the respective agreement(s), then dispose of in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Amended
8/20/08**

425.002 Military and Federal Specifications and Standards (Duplicates)

Dates: 1950-
Volume: 2 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Numerical by file number

This record series consists of documents, submitted by the Illinois Department of Commerce and Economic Opportunity on microfiche, which clarify specifications for the procurement of goods/services by designated clients of the center for client project implementation.

Data include specifications, standards, and supporting documents, Originals are maintained by the Department of Defense/General Service Administration.

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Recommendation:

Retain in office for five (5) years and the completion of all audits under the supervision of the Auditor General, if necessary then transfer to the University Archives. University Archives staff is to review all accumulations transferred accordingly and dispose of all routine documents after retaining all other record series items permanently.

**Disposition
Amended
8/20/08**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF ENGINEERING
ACADEMIC UNITS
INDUSTRIAL ENGINEERING AND MANUFACTURING**

430 Series

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF ENGINEERING
ACADEMIC UNITS
MECHANICAL ENGINEERING**

435 Series

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF ENGINEERING
MINORITY ENGINEERING PROGRAM

**440.001 Annual Reports to the SIU Board of Trustees of Program Operations
(Departmental Copies)**

Dates: 1990-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological by year

This record series consists of documents, submitted to the board of Trustees annually, which summarize the activities of the Minority Engineering Program.

Data include program inventory forms, programs/descriptions for under-represented student/staff, breakdowns of dollars and staff years budgeted to programs serving under-represented staff/students, and definitions of terms used within the annual report.

The University maintains "Annual Reports" in the Executive Office of the Provost and Vice-chancellor for five (5) years then offers to the University Archives for permanent retention per item 110.001 of this application.

Recommendation: Retain in office for five (5) years, then destroy provided no litigation is pending or anticipated and provided all audits (if required) under supervision of the Auditor General have been completed.

**Disposition
Amended
8/20/08**

440.003 Scholarship Applications for Minorities in Engineering Programs (Originals)

Dates: 1987-
Volume: 1 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological by year, Alphabetical by name

This record series consists of documents, which verify a minority student's pursuit of financial assistance for Engineering Programs. (Documents concern both accepted and rejected applicants).

Data include background information on students (e.g., name, address, sex, race); educational levels of applicants; past educational achievements (e.g., high school/college class rank, GPA, test scores, courses taken); and parent/guardian data.

The university maintains "NACME Grant Administration Files" (which allocates monies for scholarships) for five (5) years following termination of grant

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
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Item No.	Record Series Title, Description and Recommendation	Action Taken
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per item 100.011 of this application.

Recommendation:

- A) For accepted and rejected applicants enrolled at the university, retain in office for five (5) years following the last date of attendance or graduation, then destroy in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.
- B) For accepted and rejected applicants not enrolled at the university, retain in office for five (5) years lapsed from the date of record generation, then destroy in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Amended
8/20/08**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF ENGINEERING
ENVIRONMENTAL RESOURCES TRAINING CENTER

445.001 Continuing Education Units Awarded Files (Originals)

Dates: 1976-
Volume: 4 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Alphabetical by student

This record series consists of a form for each student in the continuing Education Unit of the Environmental Resources training courses. Forms list names of courses, dates of course completion, locations, and numbers of continuing education units awarded.

Files are used to verify the number of units awarded toward meeting requirements for Treatment Plant Operator's state certificates. The Illinois EPA performs verification checks.

Recommendation: Retain permanently.

**Disposition
Amended
8/20/08**

**445.002 DAVTE (Department of Adult, Vocational, and Technical Education)
Program Records (Agency Record Copies)**

Dates: 1981-
Volume: ½ Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of reimbursement claims submitted to DAVTE and the supporting program records.

Files include copies of reimbursement claims, plan approvals, program reports and related correspondence.

Recommendation: Retain in office for six (6) years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Amended
8/20/08**

**APPLICATION FOR AUTHORITY
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Item No.	Record Series Title, Description and Recommendation	Action Taken
445.003	“Job Training Partnership Act” Records (Agency Record Copies)	
	Dates: 1983- Volume: ½ Cubic Feet Annual Accumulation: Negligible Arrangement: Chronological	
	This record series consists of the Environmental Resources training Center’s copies of records for participation in the JTPA program.	
	Files include copies of time sheets, copies of program employment contracts, billings to JTPA, program reports, and related correspondence.	
	Recommendation: Retain permanently.	Disposition Amended 8/20/08
445.004	Waste Water Treatment Operator Correspondence Course Record Cards (Originals)	
	Dates: 1979- Volume: 1 ½ Cubic Feet Annual Accumulation: Negligible Arrangement: Alphabetical by student	
	This record series consists of record cards of students taking the correspondence course for Waste Water Treatment Operator.	
	Cards list student’s name, social security number, address, phone, course name, dates course began and ended, employer, telephone number and date paid. Listed on the reverse side of the card are chapters tested, date of exam, score, percentile, and list of questions missed.	
	Students have an indefinite amount of time to complete the course. Information is also entered on computer.	
	The results are transferred to the Office of Continuing Education (see item 900.002 of this application).	
	Recommendation: Retain student files of students who do not complete the course in the office for ten (10) years after last date of attendance, then dispose of in a secure fashion providing no litigation is pending or anticipated.	Disposition Amended 8/20/08

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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF ENGINEERING
WASTEWATER TREATMENT PLANT

450.001 Construction Plans and Specifications (Duplicates)

Dates: 1964 -
Volume: 3 1/2 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Alphabetical by subject

This record series consists of copies of the waste treatment plant construction plans and specifications.

Another copies is also maintained by the Office of Facilities Management. Regulations require that copies of plant construction plans and specifications be maintained on site.

The originals are submitted to and maintained permanently by the Illinois EPA per approved Application 95-54, item 1.

Recommendation: Retain in office for ten (10) years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
8/20/08**

450.002 Discharge Monitoring Reports (Agency Record Copies)

Dates: 1979 -
Volume: 1/2 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of original daily meter and flow chart readings for raw waste, aeration, primary sludge, digestion gas, chlorine, B.O.D. analysis, suspended and settleable solid analysis, PH analysis and final effluent analysis for the month.

Original reports are sent to the Illinois EPA and are maintained by that agency for ten (10) years per approved Application 82-93.

Recommendation: Retain in office for five (5) years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
8/20/08**

**APPLICATION FOR AUTHORITY
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Item No.	Record Series Title, Description and Recommendation	Action Taken
450.003	Flow Charts (Originals)	
	Dates: 1965 - Volume: 20 Cu. Ft. Annual Accumulation: 1 Cu. Ft. Arrangement: Chronological	
	This record series consists of 24-hour graph charts of readings from recorders indicating digester gas and other effluents as required for monitoring by the EPA.	
	Recommendation: Retain in office for five (5) years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 8/20/08
450.004	Lab Bench Sheets (Daily) (Originals)	
	Dates: 1965 - Volume: 1 Cu. Ft. Annual Accumulation: Negligible Arrangement: Chronological	
	This record consists of original lab work sheets listing daily readings of BOD analysis, fecal coliform, nitrogen, suspended solids, and ammonia.	
	Information from these work sheets are transferred to the discharge monitoring reports (see item 450.002) and pollution control plant reports, which are sent to the Illinois EPA.	
	Recommendation: Retain in office for five (5) years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 8/20/08
450.005	List of Treatment Plant Operators (Duplicate)	
	Dates: 1992 - Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological	
	This record series consists of a duplicate list of treatment plant operators in charge of the plant during operation. The original list is submitted to the Illinois EPA. (The Illinois EPA maintains the statewide central file accessed as	

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
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Item No.	Record Series Title, Description and Recommendation	Action Taken
	a source for identifying waste water treatment plant operators for twenty-five years per approved Application 97-3, item 2.)	
	Recommendation: Retain in office until the lapse of one (1) year following supersedence by a new list, then destroy in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 8/20/08
450.006	National Pollutant Discharge Elimination System and Environmental Protection Agency Permits (Duplicates)	
	Dates: 1977 - Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological	
	This record series consists of permits required by the EPA for the construction and operation of waste treatment plants.	
	Original permits are maintained by the Illinois EPA per approved Application 96-19, item 1.	
	Recommendation: Retain in office for five (5) years after expiration of the respective permit(s), then destroy in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 8/20/08
450.007	Plant Equipment Records (Originals)	
	Dates: 1964 - Volume: 2 1/2 Cu. Ft. Annual Accumulation: Negligible Arrangement: Alphabetical by equipment	
	This record series consists of original records on equipment maintained by the Waste Treatment Plant.	
	Files include operator's manuals, specifications, service work histories, and correspondence with vendors. The Illinois EPA requires that these records be kept on the plant site.	
	Recommendation: Retain in office for two (2) years following the date the respective equipment is sold, traded, or discarded, then dispose of providing all audits have been completed	Disposition Approved 8/20/08

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
450.010	Sewage Treatment Works Operator's License Files (Agency Record Copies)	
	Dates: 1978 - Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological	
	<p>This record series consists of the licenses granted sewage treatment plant operators by the Illinois EPA. EPA regulations require that the current license be displayed on the work site. The Illinois EPA maintains its files of these licenses issued for twenty-five (25) years per approved Application 97-3, item 2.</p>	
	Recommendation: Retain for five (5) years after final expiration or replacement by new license, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 8/20/08
450.011	Sludge Testing Reports (Agency Record Copies)	
	Dates: 1989 - Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological	
	<p>This record series consists of sludge sample tab test reports for sludge used for land application. The EPA requires that all sludge used for land application be tested to determine chemical and organic composition.</p>	
	<p>Copies of these reports are forwarded to the EPA and are maintained by that agency for ten (10) years per approved Application 96-26, item 1.</p>	
	Recommendation: Retain in office for ten (10) years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 8/20/08

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF ENGINEERING
DEAN'S OFFICE**

460 SERIES

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
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Item No.

Record Series Title, Description and Recommendation

Action Taken

PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF ENGINEERING
ACADEMIC UNITS
COMPUTER SCIENCE

470 SERIES

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF ENGINEERING
ACADEMIC UNITS
ELECTRICAL AND COMPUTER ENGINEERING**

480 SERIES

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF ENGINEERING
OUTREACH SERVICE UNITS
SOUTHWESTERN ILLINOIS ADVANCED
MANUFACTURING CENTER**

490 SERIES

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF NURSING
DEAN'S OFFICE

500.001 Clinical Field Agency Contract Files

Dates: 1992
Volume: 32 Cubic Feet
Annual Accumulation: 4 Cubic Feet
Arrangement: Alphabetical by field agency

This record series consists of files which verify student nurses participating in various field agencies (e.g., hospitals, nursing homes, state hospitals, doctors offices).

Contents include contracts between the university and the participating entities and supporting correspondence. The conditional and durational terms of the contracts vary. Contract files are sent to the agency and SIUE General Counsel.

Recommendation: Retain the record series in office for five (5) years following expiration of contract, then dispose of in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
8/20/08**

500.002 Index Cards to Clinical Field Agencies (Originals)

Dates: 1992-2003
Volume: 4 Cubic Feet
Annual Accumulation: ½ Cubic Feet
Arrangement: Alphabetical by name

Data include agency name, name of responsible individual within the agency, address of the agency, and dates of initial contract.

Recommendation: Retain the record series in office for five (5) years following termination of corresponding clinical agency contracts, then dispose of in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
8/20/08**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF NURSING

515.001 Advisor's Appointment Books (Originals)

Dates: 1992-
Volume: 8 Cubic Feet
Annual Accumulation: 1 Cubic Feet
Arrangement: Chronological by year

This record series consists of books showing the student's name, appointment time(s) and dates of appointments.

Recommendation: Retain in office for two (2) years, then dispose of .

**Disposition
Approved
8/20/08**

515.002 Audio-Visual Response Check-Out Records (Originals)

Dates: 1981-2016
Volume: ½ Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological by year, Alphabetical by name

This record series consists of records, which identify individuals who used audio-visual equipment.

Data include inventory number of equipment, name of individual, date purchased, purchase order number, related grant, name of person checking out item, and date of checkout.

Recommendation: Retain in office for one (1) year, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
8/20/08**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF NURSING
ASSISTANT DEAN
UNDERGRADUATE PROGRAM**

520 Series

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
ASSISTANT DEAN
SCHOOL OF NURSING
GRADUATE PROGRAMS**

525 Series

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF NURSING
COMMUNITY NURSING SERVICES CENTER

530.001 Patient Files (Originals)

Dates: 1989 -
Volume: 6 Cu. Ft.
Annual Accumulation: 2 Cu. Ft.
Arrangement: Alphabetical by name

This record series consists of files which summarize medical treatment of pediatric and adult patients by nursing staff at the Community Nursing Services Center.

Contents include information sheets, consent forms, problem lists, physical assessment forms, notes, Medicare card information, and referral data.

Northern Illinois University maintains "Patient Master Files for twenty (20) years from the last treatment date per item 170.10 of Application 89-26.

Recommendation: Retain in office for twenty (20) years from the last date of treatment, then dispose of in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
8/20/08**

530.002 Professional Credentials for State Licensing Files

Dates: 2001-
Volume: 6 Cubic Feet
Annual Accumulation: ¾ Cubic Feet
Arrangement: Alphabetical and Chronological

This record series consists of copies of licensing files of service providers' (e.g. nurse practitioner, medical assistant, diabetic educator) contracted by SIUE to provide community health care. The documentation also includes Medicare and Medicaid provider numbers for billing purposes.

Recommendation: Retain for six (6) years, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
2/15/12**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
530.003	Pharmaceuticals and Medical Consumables Inventory Log	
	Dates: 2010- Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological	
	<p>This record series consists of an inventory log listing pharmaceuticals and medical consumables. The log shows the date, type of pharmaceutical and medical consumable description (e.g. vaccines received from the State of Illinois Vaccine for Children Program), the date ordered, amount ordered, and amount consumed.</p>	
	Recommendation: Retain for three (3) years, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.	Disposition Approved 2/15/12
530.004	Site Visitation Health and Safety Checklists	
	Dates: 2004- Volume: 3 Cubic Feet Annual Accumulation: ½ Cubic Feet Arrangement: Alphabetical and chronological	
	<p>This record series consists of checklists completed by the Community Nursing (C.N.) staff when performing health and safety inspections. The checklists cover classrooms, indoor facilities, and outdoor recreational sites. The general areas observed and evaluated include sanitation, hygiene, emergency provisions, facility layout and environmental concerns.</p>	
	Recommendation: Retain for two (2) years, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated	Disposition Approved 2/15/12
530.005	Patient Files	
	Dates: 1989- Volume: 6 Cubic Feet Annual Accumulation: 2 Cubic Feet Arrangement: Alphabetical by name	

The Community Nursing Services Center is a nurse managed health center

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
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sponsored by Southern Illinois University Edwardsville School of Nursing. It provides affordable wellness and primary care services to a variety of patients and clients in St. Clair and Madison counties including immunizations, vaccinations, school/employment physical examinations, etc. This record series consists of files which summarize medical treatment of pediatric and adult patients by nursing staff of

Record series contents include patient information sheets (e.g. patient name, address, birth date, type of insurance, allergies, medications), consent forms, problem lists, staff notes, Medicare card information, patient referral information, medical screening forms (including Head Start services), physical assessment forms, certificate of child health examinations, flu vaccine consent forms and any related supporting documents.

Immunization records must be kept permanently per the requirements of the "National Childhood Vaccine Injury Act of 1986" (42 U.S.C. 300 aa-1).

This item supersedes item 530.001 of State Records Application 07-09 in order to revise the record series description and reduce the length of the retention period to ten (10) years per agency request.

Recommendation: Retain for ten (10) years after the most recent patient care usage or for four (4) years after the age of majority if the patient is a minor, whichever is later, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated. Retain immunization records in office permanently.

**Disposition
Approved
2/15/12**

530.006 Health Insurance Claim Forms and Illinois Department of Public Aid Remittance Vouchers

Dates: 1996-2002
Volume: Negligible
Annual Accumulation: N/A
Arrangement: Chronological

This record series consists of standard health insurance claim forms (e.g. patient name, physician, date and type of service) and IDPA remittance vouchers including the invoice number, date and amount of remittance.

Recommendation: Destroy accumulation in a secure manner upon approval of this State Records Application provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
2/15/12**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
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Item No.	Record Series Title, Description and Recommendation	Action Taken
530.007	<p data-bbox="282 321 526 348">Daily Charge Log</p> <p data-bbox="282 394 805 533">Dates: 1999- Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological</p> <p data-bbox="282 579 1333 678">This record series consists of a daily log for charges incurred for services rendered including the location patient's name, date of service, payer's name, fee, write-off amount, balance due, nurse's name.</p> <p data-bbox="282 724 1333 863">Recommendation: Retain for six (6) years, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.</p>	Disposition Approved 2/15/12
530.008	<p data-bbox="282 940 764 968">Patient Number and Visitation Log</p> <p data-bbox="282 1014 805 1152">Dates: 1997- Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological</p> <p data-bbox="282 1199 1333 1373">This record series consists of a patient number log that serves as a record of who was seen and when the patient number was assigned for patients seeking services. The data includes the patient number, sequential number, date of birth, and tests run (e.g. sickle cell, Hgb, lead strabismus). Test results are recorded in the patient's medical file.</p> <p data-bbox="282 1419 1333 1556">Recommendation: Retain for two (2) years, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.</p>	Disposition Approved 2/15/12
530.009	<p data-bbox="282 1633 915 1661">Chlamydia and Gonorrhea Testing Log Sheets</p> <p data-bbox="282 1707 805 1845">Dates: 1997- Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological</p> <p data-bbox="282 1892 1333 1995">This record series consists of log sheets for testing of patients for Chlamydia and Gonorrhea including the date of the blood draw, testing site, results, client, contact date, and related follow up.</p>	

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
Recommendation:	Retain for six (6) years after the date of last entry, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.	Disposition Approved 2/15/12
530.010	Specimen for Blood Lead Analysis Reports	
Dates:	1994-	
Volume:	Negligible	
Annual Accumulation:	Negligible	
Arrangement:	Chronological	
	This record series consists of patient blood lead analysis forms including the patient name, submitter's name and the blood test results.	
Recommendation:	Retain analysis forms for negative results for one (1) year, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated. Retain analysis forms for positive results for two (2) years, then destroy in a secure manner or delete from the system provided results have been recorded in the patient's medical file, all audits have been completed, if necessary, and no litigation is pending or anticipated.	Disposition Approved 2/15/12
530.011	Childhood Lead Poisoning Control Program Files	
Dates:	1990-	
Volume:	Negligible	
Annual Accumulation:	Negligible	
Arrangement:	Chronological	
	This record series consists of forms containing information regarding the Lead Poisoning Control Program including the location of the screen facility, agency code, county, screening status, patient name, address, D.O.B., sex, race, EP to lab, return EP/PbB, and comments	
Recommendation:	Retain for six (6) years, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.	Disposition Approved 2/15/12

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
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530.012 Head Start Decision Manager Class Roster

Dates: 1990-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of copies of the head start program's class roster that includes the nurse's name, patient's name, address, date of birth, phone, and name of the parents/guardian.

Recommendation: Retain for two (2) years, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
2/15/12**

530.013 St. Clair County Head Start Health Component Mid-Year Report

Dates: 1998-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of a status report submitted to the St. Clair County Head Start program which includes the name of test(s) conducted, number of children screened and number of children not screened.

Recommendation: Retain for two (2) years, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
2/15/12**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF NURSING
ADMISSION RECRUITMENT AND RETENTION

535.001 Transcripts from Other Colleges and Universities (Departmental Copy)

Dates: 1990-
Volume: 9 Cubic Feet
Annual Accumulation: 1 Cubic Feet
Arrangement: Alphabetical by name

This record series consists of documents which verify the academic achievements of applicants not participating in nursing programs at the University.

Recommendation: Retain in office for five (5) years, then destroy in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
8/20/08**

APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
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Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF NURSING
ACADEMIC UNITS
PRIMARY CARE AND HEALTH SYSTEMS

540.001 Faculty Work Files (Originals)

Dates 1991-
Volume 18 Cubic Feet
Annual Accumulation 2 Cubic Feet
Arrangement Alphabetical by Topic

Contents include manuscripts, articles for publication, memos, and supporting correspondence

Recommendation: Retain in office for three (3) years, then transfer to the University Archives for permanent retention.

**Disposition
Approved
8/20/08**

APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)

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Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF NURSING
ACADEMIC UNITS
FAMILY HEALTH AND COMMUNITY NURSING

545.001 Faculty Work Files (Originals)

Dates 1991-
Volume 18 Cubic Feet
Annual Accumulation 2 Cubic Feet
Arrangement Alphabetical by Topic

Contents include manuscripts, articles for publication, memos, and supporting correspondence

Recommendation: Retain in office for three (3) years, then transfer to the University Archives for permanent retention.

**Disposition
Approved
8/20/08**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF NURSING
DIRECTOR OF DEVELOPMENT

550.001 Foundation Accounts Files

Dates: 1995-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of duplicate records of foundation accounts information including deposits, monthly balances/payments, etc. Originals are maintained by the SIUE Foundation Office.

Recommendation: Retain in office for three (3) years after the date of generation, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition
approved
10/19/16**

550.002 Major Gift Campaign Files

Dates: 2006-
Volume: 2 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of documents related to major capital Campaign for the University. The files include pledge forms, scholarship documents, faculty member campaign rolls, and other related campaign documents. The files date from the planning and establishment of the campaign to the final donor list.

Recommendation: Retain in office five (5) years, after final donor list is compiled, then transfer to the University Archives retention.

University Archives staff is to review and weed all such record series transfers under authority of this record disposition application if approved. Any and all accumulations of the series remaining after such Archives staff weeding are to be accessioned into the University Archives for permanent retention

**Disposition
approved as
amended
10/19/16**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
ASSOCIATE PROVOST
ACADEMIC COUNSELING AND ADVISING
OFFICE OF THE DIRECTOR

600.001 Academic Suspension Appeal Files (Agency Record Copies)

Dates: 1987-
Volume: 3 Cubic Feet
Annual Accumulation: ½ Cubic Feet
Arrangement: Chronological by year

This record series consists of files which document a student's protest of academic suspension. Files include copies of transcripts, appeal forms, and supporting correspondence.

Recommendation: Retain in office for five (5) years following last day of attendance or graduation, then destroy in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
8/20/08**

600.002 Student Advisement Files (Microforms) (Discontinued)

Dates: (1987-1992)
Volume: 45 Cubic Feet
Annual Accumulation: --
Arrangement: Chronological by year, Alphabetical by name

This record series consists of files (in microform only) which summarize academic advisement to students who have declared a "college major."

Contents include certificate of admission, general education work sheet, high school/college transcripts, placement tests, interview counselors' reports, and mid-term/end-term grades.

Recommendation: Retain in office for five (5) years following student's graduation or last date of attendance, then destroy in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
8/20/08**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
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600.003 Student Advisement and Counseling Case Files (Disadvantaged Students)

Dates: 1987-
Volume: 34 Cubic Feet
Annual Accumulation: 3 Cubic Feet
Arrangement: Alphabetical by Name

Contents include financial aid papers, application to program, academic contracts, copies of transcripts (college and high school), placement tests, interview records, counselors' reports, mid-term and end-term reports, certificate of admission, and general education worksheet.

Files are original if students fail to declare a "major" or withdraw from the University. If enrolled students declare a major, the Office of Academic Counseling maintains duplicate files. Original files pertinent to Disadvantaged Students declaring a college major are maintained by the department in which the major is declared.

Recommendation: Retain original files in office on a permanent basis.
 Retain duplicate files for five (5) years following graduation or last date of attendance, then destroy in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
8/20/08**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
ASSOCIATE PROVOST
ACADEMIC COUNSELING AND ADVISING
DISABILITY SUPPORT SERVICES

601.001 Disabled Student Counseling and Advisement Case Files (Originals)

Dates: 1982-
Volume: 15 Cubic Feet
Annual Accumulation: 1 Cubic Foot
Arrangement: Alphabetical by Name

This record series consists of files which are used by counselors to assist the educational, vocational, and/or psycho-social development of students with the following disabilities: visual impairment, hearing impairment, mobility impairment, learning impairment, epilepsy, aids, chronic cancer, and chronic heart disease. Files are principally comprised of referral/intake forms and counselors' notes.

Southern Illinois University at Carbondale maintains Student Files for Disabled Students for five (5) years after the date of last attendance per item 185 of Application 87-64.

Recommendation: Retain in office for five (5) years following date of last attendance, then destroy in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
8/20/08**

601.002 Office Activity Logs and Schedules (Originals)

Dates: 1987-
Volume: 2 Cubic Feet
Annual Arrangement: Negligible
Arrangement: Chronological

Data includes daily appointments and itineraries of the Disabled Student Counselors.

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
8/20/08**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
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601.003 Time Sheets for Interpreting to the Hearing Impaired (Duplicates)

Dates: 1987-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological

Data includes the name and address of the interpreter; social security number; pay period dates; rate of pay; date, hours, and fee of performed duties; and student's signature.

Recommendation: Retain in office for two (2) years, then destroy in a secure fashion provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
8/20/08**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
ACADEMIC COUNSELING AND ADVISING
SPECIAL SERVICES

602.001 Mid-term Grade Sheets (Duplicates)

Dates: 1987- 2011
Volume: 12 Cubic Feet
Annual Accumulation: 1 Cubic Foot
Arrangement: Chronological/Alphabetical

Data includes the name of the student, social security number, assigned grade test data, and comments.

Recommendation: Retain in office for five (5) years following date of last attendance or graduation, then destroy in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
8/20/08**

602.002 Student Tutorial Files (Originals)

Dates: 1987-
Volume: 11 Cubic Feet
Annual Accumulation: 1 Cubic Foot
Arrangement: Alphabetical by Topic

Contents include the sign in sheets, log achievement sheets, and syllabi.

Recommendation: Retain in office for five (5) years following date of last attendance or graduation, then destroy in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated

**Disposition
Approved
8/20/08**

**APPLICATION FOR AUTHORITY
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(continued)**

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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
ACADEMIC UNITS
ANTHROPOLOGY**

605 Series

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
ART AND DESIGN

This item cancelled.
See item 610.001
below.

610.001 Art Show Receipts for Sale of Items of the Fine Arts Store

Dates: 1979-
Volume: 8 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of receipts from the Fine Arts Store. These are done daily and show what was purchased by the customer and the purchase price.

Recommendation: Retain in the office for three (3) years providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
8/20/08**

610.001 Art Show Receipts for Sale of Items of the Fine Arts Store

Dates: 1979-
Volume: 8 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of purchase receipts from the Fine Arts Store. The receipts are generated daily and indicate what was purchased by the customer and the purchase price.

This item supersedes State Records Application 07-09, item 610.001 in order to increase the retention period from three (3) years to six (6) years per agency request.

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
Recommendation:	Retain in office for six (6) years after date of generation, then destroy in a secure manner or delete from system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.	Disposition approved 10/19/16
610.002	Construction Files	
Dates:	(1980-1998)	
Volume:	1 Cubic Feet	
Annual Accumulation:	Negligible	
Arrangement:	Chronological	
	<p>This record series consists of original drawings of the new art building. These records include: bids, equipment lists, installation lists, addendum changes, contracts, and blueprints.</p>	
Recommendation:	Retain in office for five (5) years and the completion of all audits (if necessary) under supervision of the Auditor General, then transfer to the University Archives. University Archives staff are to review all accumulations of the series transferred accordingly and dispose of all routine documents after retaining all other records series items permanently.	Disposition Approved 8/20/08
610.003	Research Support Files	
Dates:	1990-	
Volume:	10 Cubic Feet	
Annual Accumulation:	1 Cubic Feet	
Arrangement:	Chronological	
	<p>These are files of requests for financial support of research activities of faculty members and graduate students of the Art and Design Department including originals of requests, copies of correspondence, purchase requests, and copies of travel vouchers.</p>	
Recommendation:	Retain in office for five (5) years and the completion of all audits (if necessary) under supervision of the Auditor General, then transfer to the University Archives for	Disposition Approved 8/20/08

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permanent retention.

610.003 Research Support Files

Dates: 1990-
Volume: 10 Cubic Feet
Annual Accumulation: 1 Cubic Feet
Arrangement: Chronological

These are files of requests for financial support of research activities of faculty members and graduate students of the Art and Design Department including original requests, copies of correspondence, purchase requests, and copies of travel vouchers.

This item supersedes State Records Application 07-09, item 610.003 in order to increase the in office retention period from five (5) years to six (6) years and to discontinue the “transfer to the University Archives for permanent retention” per agency request.

Recommendation: Retain in office for six (6) years after the date of generation, then destroy in a secure manner or delete from system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition
approved
10/19/16**

**APPLICATION FOR AUTHORITY
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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
BACHELOR OF LIBERAL STUDIES PROGRAM**

615 Series

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
GRADUATE STUDIES AND RESEARCH CENTERS

620.001 Organizational Support Review Reports

Dates: 1990-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological by year

This record series consists of documents which are used by the university to internally evaluate its joint testing for the police department.

File series contents include school resource officer training surveys and wage classification studies.

Recommendation: Retain in office for five (5) years and the completion of all audits under supervision of the Auditor General, (if necessary) then transfer to the University Archives for permanent retention.

**Disposition
Approved
8/20/08**

620.002 Institutional Review Board (IRB) Protocols (Originals)

Dates: 1995-
Volume: 17 Cubic Feet
Annual Accumulation: 1 Cubic Feet
Arrangement: Chronological & Alphabetical

This record series consists of original faculty and student research files with human subjects. Signed consent forms by participants, health data, copies of surveys and interviews are included in the file. The file is generated by a student in a medical field (e.g. Nursing, Psychology, Kinesiology) to complete requirements for the program as a final project or thesis.

The U.S. Department of Health and Human Services Protection of Human Subjects Regulations require institutions to retain records of Institutional Review Board activities and certain other records frequently held by investigators for at least three (3) years after completion of the research (45 CFR 46.115(b)).

Recommendation: Retain in office for three (3) years after completion of the research, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition
approved
4/17/13**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
SCHOOL OF SOCIAL SCIENCE
CONTRACT ARCHEOLOGY

625.001 Land Exploration Fiscal Support Files (Originals and Duplicates)

Dates: 1977-
Volume: 4 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Negligible by file number

This record series consists of files which document expenses due to land surveys for prehistoric/historic artifacts.

Contents include travel vouchers, salary sheets, expense lists and supporting correspondence.

Recommendation: Retain in office for six (6) years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
8/20/08**

APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
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Item No.

Record Series Title, Description and Recommendation

Action Taken

PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
ENGLISH LANGUAGE AND LITERATURE
DEPARTMENTAL OFFICE

630 Series

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
ENGLISH LANGUAGE AND LITERATURE
CORPORATE WRITING

635.001 “Corporate Writing” Client Files (Originals and Duplicates)

Dates: 1989- 1999
Volume: 11 Cubic Feet
Annual Accumulation: ¾ Cubic Feet
Arrangement: Alphabetical

This record series consists of documentation retained on clients of the “Corporate Writing” program, which was established to provide educational workshops for corporate and/or state agencies.

File series contents include copies of course materials and all related registration and fiscal administration forms, reports, and correspondence

Recommendation: Retain in office until updated and/or superseded or until the lapse of two (2) years from the date of record generation, whichever is longer, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
8/20/08**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
ENGLISH LANGUAGE AND LITERATURE
DRUM VOICES REVUE

640.001 “Drum Voices Revue”

Dates: 1991-
Volume: 13 Cubic Feet
Annual Accumulation: 1 ½ Cubic Feet
Arrangement: Chronological

This record series consists of department copies of back issues of the “Drum Voices Revue”, a multicultural journal of literary and visual arts published annually with occasional special issues and anthologies.

Originals are maintained permanently by the University Archives.

Recommendation: Retain in office until administrative value has expired or until the lapse of six (6) months from the dates of issue, whichever is longer, then dispose of.

**Disposition
Approved
8/20/08**

640.002 Subscription Files (Originals)

Dates: 1991-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Alphabetical

This record series consists of data retained on subscribers to “Drum Voices Review” (i.e., fliers, correspondence, etc.).

Recommendation: Retain for one (1) year after expiration of subscription, then dispose of.

**Disposition
Approved
8/20/08**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
ENGLISH LANGUAGE AND LITERATURE
PAPERS ON LANGUAGE AND LITERATURE

645.001 Contributor's Correspondence Files

Dates: 1965-
Volume: 12 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This records series consists of correspondence exchanged with contributing authors.

Recommendation: Retain in office for three (3) years and the completion of all audits under supervision of the Auditor General, (if necessary), then transfer to the University Archives for permanent retention.

**Disposition
Approved
8/20/08**

645.002 "Papers on Language and Literature" Journals (Duplicates)

Dates: 1965-
Volume: 11 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of department copies of back issues of "English Language and Literature" journals.

Originals are maintained by the University Archives.

Recommendation: Retain in office until administrative value has expired, then dispose of.

**Disposition
Approved
8/20/08**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
ENGLISH LANGUAGE AND LITERATURE
SOU' WESTER

650.001 "Sou'wester" Magazine Files (Duplicates)

Dates: 1960-
Volume: 3 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of department copies of back issues of "Sou'wester" Magazine.

Originals are maintained permanently by the University Archives.

Recommendation: Retain in office until administrative value has expired, then dispose of.

**Disposition
Approved
8/20/08**

650.002 "Sou'wester" Subscription Files (Originals)

Dates: 1992-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of data retained on subscribers to "Sou'wester" magazine (i.e., correspondence and lists of subscribers).

Recommendation: Retain for one (1) year after expiration of subscription, then dispose of

**Disposition
Approved
8/20/08**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
FOREIGN LANGUAGE AND LITERATURE**

655 Series

APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)

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Item No.

Record Series Title, Description and Recommendation

Action Taken

PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
ACADEMIC UNITS
GEOGRAPHY

660 Series

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
ACADEMIC UNITS
HISTORICAL STUDIES**

670 Series

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
MASS COMMUNICATIONS DEPARTMENT

675.001 Graduate/Undergraduate Review Files

Dates: 1977-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of a departmental review by the Graduate and Undergraduate Program of the Mass Communications Department.

Recommendation: Retain permanently in office of transfer to the University Archives for permanent retention.

**Disposition
Approved
8/20/08**

675.002 Internship/Masters Program Files

Dates: 1982-
Volume: ½ Cubic Feet
Annual Accumulation: Negligible
Arrangement: Alphabetical

This series contains program and related curricula descriptions, student applications for admittance to the programs, student enrollment forms, student attendance forms, and evaluations of students' performance in the programs.

Recommendation: Retain program related documentation (i.e., description of programs) in office for five (5) years or until expiration of administrative value, whichever is longer, then transfer to the University Archives. University Archives staff is to review all accumulations transferred accordingly and dispose of all routine documents after retaining all other record series items permanently.

**Disposition
Approved
8/20/08**

Retain in office the college, school, departmental and program level records of students' participation in internship programs for five (5) years following the date of graduation or last attendance of student, then transfer to the Office of Admissions and Records to be placed in the students' permanent academic record.

**APPLICATION FOR AUTHORITY
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(continued)**

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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
ACADEMIC UNITS
MATH AND STATISTICS**

680 Series

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
ACADEMIC UNITS
MUSIC DEPARTMENT**

685 Series

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
ACADEMIC UNITS
DEPARTMENT OF PHILOSOPHY**

690 Series

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
ACADEMIC UNITS
PHYSICS DEPARTMENT**

695 Series

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
POLITICAL SCIENCE**

700 Series

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
ACADEMIC UNITS
PUBLIC ADMINISTRATION AND POLICY ANALYSIS

705.001 Scholarship Record Forms (Leo Cohen Award) (Duplicates)

Dates: 1989-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological by year

This record series consists of documents, which identify recipients of the “Leo Cohen Award” for excellence in urban management.

Data include name of recipient, account number, amount of scholarship, and endowment account type.

Originals are maintained by the University’s Foundation Department.

Recommendation: Retain in office for four (4) years following the expiration of scholarship assistance, then dispose of in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
8/20/08**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
ACADEMIC UNITS
SOCIOLOGY AND CRIMINAL JUSTICE
LABOR AND MANAGEMENT PROGRAMS

730.001 Labor and Management Leadership Training Program Files (Originals and Duplicates)

Dates: 1985-
Volume: 13 Cubic Feet
Annual Accumulation: 1 Cubic Feet
Arrangement: Alphabetical by name

This record series consists of files, which document the department's relationship with private companies, unions, and government agencies in the coordination of consulting and/or grant programs implemented for labor/management leadership or professional development training programs.

Contents include proposals, progress reports, final reports, notes, budgetary data, and supporting correspondence. With the exception of the budgetary data, the file is original.

Original budgetary data are maintained by the agency's Accounting Office.

Recommendation: Retain in office for five (5) years and the completion of all audits under the supervision of the Auditor General, (if necessary) then transfer to the University Archives. University Archives staff are to review all accumulations of the series transferred accordingly and dispose of all routine documents after retaining all other record series items permanently.

**Disposition
Approved
8/20/08**

730.002 Statistical Data of Research Projects (Computer Tape/Disks)

Dates: 1985-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological by year

This record series consists of miscellaneous statistical information derived from research projects of the Labor/Management Program Office.

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
Recommendation:	Retain in office for five (5) years and the completion of all audits under the supervision of the Auditor General, (if necessary) then transfer to the University Archives. University Archives staff are to review all accumulations of the series transferred accordingly and dispose of all routine documents after retaining all other record series items permanently.	Disposition Approved 8/20/08
730.003	Monographs of Unit Publications (Originals)	
Dates:	1987-	
Volume:	5 ½ Cubic Feet	
Annual Accumulation:	½ Cubic Feet	
Arrangement:	Chronological by year	
	<p>This record series consists of documents, which summarize the following topics as published by the unit: conference proceedings, studies, project explanations, and final reports of grant program outcomes.</p>	
Recommendation:	Retain in office for three (3) years, then transfer to the University Archives. University Archives staff is to review all accumulations transferred accordingly and dispose of all routine documents after retaining all other record series items permanently.	Disposition Approved 8/20/08

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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
ACADEMIC UNITS
THEATER AND DANCE

735.001 Friends of Theater and Dance Files

Dates: 1970-
Volume: 2 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of the Theater and Dance Foundation's correspondence, board meeting reports, by-laws, scholarship information, newspaper clippings, and related budget records of the Friends of Theater and Dance.

Recommendation: Retain in office for three (3) years and the completion of all audits under the supervision of the Auditor General if necessary, then transfer to the University Archives. University Archives staff are to review all accumulations of the series transferred accordingly and dispose of all routine documents after retaining all other record series documents permanently.

**Disposition
Approved
8/20/08**

735.002 Summer Showbiz File

Dates: 1995-
Volume: 3 ½ Cubic Feet
Annual Accumulation: 1/3 Cubic Feet
Arrangement: By season

This record series consists of records from the Theater and Dance Department Summer Program series only. This file includes budget figures, lists of casts, newspaper clippings, and reviews.

Recommendation: Retain in office for ten (10) years or until expiration of administrative value, whichever is longer, then transfer to the University Archives. University Archives staff is to review all accumulations accordingly and dispose of all routine documents after retaining all other record series items permanently.

**Disposition
Approved
8/20/08**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
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735.003 Theater Program Files

Dates: 1970-
Volume: 2 Cubic Feet
Annual Accumulation: Negligible
Arrangement: By season

This record series consists of records from each program (with the exception of the Summer Showbiz Program) produced by the Theater and Dance Department. Included are the original programs of the musicals, theater productions or dance productions. This file also includes lists of each cast, newspaper clippings, and reviews of each production.

Recommendation: Retain in office for ten (10) years or until expiration of administrative value, whichever is longer, then transfer to the University Archives. University Archives staff is to review all accumulations accordingly and dispose of all routine documents after retaining all other record series items permanently.

**Disposition
Approved
8/20/08**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
UNIVERSITY MUSEUM

740.001 Museum Contract Files (Originals)

Dates: 1982-
Volume: 2 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological by year/Alphabetical by name

This record series consist of files, which summarize repairs to objects as performed by staff of the University's Museum. (Agreements vary with length of renewal cycles and are formulated between the Museum and individual owners of objects).

Recommendation: Retain in office for five (5) years following expiration of contract, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
8/20/08**

This item 740.002 cancelled. See 740.002 below.

APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)

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Item No.	Record Series Title, Description and Recommendation	Action Taken
740.002	<p>Donor and Artist Object Files</p> <p>Dates: 1959- Volume: 24 Cubic Feet Annual Accumulation: 8 Cubic Feet Arrangement: Chronological by year/Alphabetical by name</p> <p>This record series consists of files which identify donors and artists who give or donate “objects” to the University Museum.</p> <p>The donor files include appraisals, transfer of titles, and supporting correspondence. Artist files contain accession work sheets (i.e., source, physical description), purchase orders/invoices, specifications, bill of lading, change of location, research documents, photos, donor records for the Harrington Collection, and supporting documentation.</p> <p>SIU Carbondale permanently maintains “Donor Files” per item 660.02 of Application 97-43.</p> <p>Recommendation: Microfilm, then dispose of original paper. Retain all record series microforms in office permanently.</p> <p style="text-align: right;">Disposition Approved 8/20/08</p>	
740.002	<p>Donor and Artist Object Files</p> <p>Dates: 1959- Volume: 24 Cubic Feet Annual Accumulation: 8 Cubic Feet Arrangement: Chronological by year/Alphabetical by name</p> <p>This record series consists of files which identify donors and artists who give or donate “objects” to the University Museum.</p> <p>The donor files include appraisals, transfer of titles, and supporting correspondence. Artist files contain accession work sheets (i.e., source, physical description), purchase orders/invoices, specifications, bill of lading, change of location, research documents, photos, donor records for the Harrington Collection, and supporting documentation.</p> <p><u>This item supersedes State Records Application 07-09, item 740.002 in</u></p>	

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TO DISPOSE OF STATE RECORDS
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Item No.	Record Series Title, Description and Recommendation	Action Taken
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order to revise the record series description and discontinue “microfilming” of the record series per agency request.

Recommendation: Retain in office permanently.

**Disposition
approved
10/19/16**

740.003 Exhibition Files (Originals)

Dates: 1988-
Volume: 4 Cubic Feet
Annual Accumulation: ¼ Cubic Feet
Arrangement: Chronological by year

This record series consists of files, which verify the internal exhibition of objects within the university. Contents include log sheets (e.g., attendance, environmental conditions), gallery guides, and type sets.

Recommendation: Retain in office for one (1) year, then dispose of.

**Disposition
Approved
8/20/08**

740.004 “Loan In” and “Loan Out” Files (Originals)

Dates: 1979-
Volume: 6 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological by year

**This item 740.004
cancelled. See
740.004 below.**

This record series consists of files, which verify the movement of objects between the university Museum and external entities.

Contents include agreements between the museum and external entity,

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
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Item No.	Record Series Title, Description and Recommendation	Action Taken
	<p>certificate of insurance, inspection documents, receipts, and bill of lading. (Agreements expire at various terms.)</p> <p>Recommendation: Microfilm, then dispose of original paper in a secure fashion. Retain all record series microforms in office for five (5) years following expiration of agreement, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p>	<p>Disposition Approved 8/20/08</p>
740.004	<p>“Loan In” and “Loan Out” Files</p> <p>Dates: 1979- Volume: 6 Cubic Feet Annual Accumulation: Negligible Arrangement: Chronological by year/Alphabetical by name</p> <p>This record series consists of files which verify the movement of objects between the university Museum and external entities. The contents include agreements between the museum and external entity, certificate of insurance, inspection documents, receipts, and bill of lading. (Agreements expire at various terms.) <u>This item supersedes State Records Application 07-09, item 740.004 in order to discontinue “microfilming” of the record series per agency request.</u></p> <p>Recommendation: Retain in office for five (5) years following expiration of the terms of the agreement, then destroy in a secure manner or delete from system provided all audits have been completed, if necessary, if necessary, and no litigation is pending or anticipated.</p>	<p>Disposition approved 10/19/16</p>
740.005	<p>National Association for the Exchange of Industrial Resources File</p> <p>Dates: 1987- Volume: 1 Cubic Foot Annual Accumulation: Negligible Arrangement: Chronological by year</p> <p>This record series consists of files, which verify receipt of commodities at the Museum via the “National Association for the Exchange of Industrial Resources.” Contents include bills of lading, notifications of delivery, record of value of shipment, various fiscal printouts, and supporting correspondence</p>	

**APPLICATION FOR AUTHORITY
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Item No.	Record Series Title, Description and Recommendation	Action Taken
Recommendation:	Retain in office for six (6) years, then dispose of in a secure fashion provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated	Disposition Approved 8/20/08

**COLLEGE OF ARTS AND
SCIENCES WSIE**

**745.001-745.007 MOVED to
07-10; NOW items 180.002-180.008**

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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
WOMEN'S STUDIES

750.001 Special Events File (Originals and Duplicates)

Dates: 1988-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological by year, Alphabetical by name

This record series consists of files which describe historic, ceremonial, and/or promotional events staged or sponsored by the Women's' Studies Program.

Contents include budgetary information, promotional data, news clippings, and supporting correspondence.

Recommendation: Retain in office for three (3) years and the completion of all audits under supervision of the Auditor General if necessary, then transfer to the University Archives for permanent retention.

**Disposition
Approved
8/20/08**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
BLACK STUDIES**

755 SERIES

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
OFFICE OF SCIENCE AND MATHEMATICS EDUCATION**

760 SERIES

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
ACADEMIC UNITS
ENVIRONMENTAL SCIENCES**

765 SERIES

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
ACADEMIC UNITS
APPLIED COMMUNICATION STUDIES**

770 SERIES

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
Page 124 of 206**

Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
ACADEMIC UNITS
SOCIAL WORK

775 SERIES**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
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Item No.

Record Series Title, Description and Recommendation

Action Taken

PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
ACADEMIC UNITS
BIOLOGICAL SCIENCE

780 SERIES

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
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Item No.

Record Series Title, Description and Recommendation

Action Taken

PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
ACADEMIC UNITS
CHEMISTRY

785 SERIES

APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)

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Item No.

Record Series Title, Description and Recommendation

Action Taken

PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
LIBRARY INFORMATION SERVICES (LOVE JOY LIBRARY)
ADMINISTRATIVE OFFICE

800.001 Annual Long Range Computer Plans (Originals)

Dates: 1992 -
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological by year

This record series consists of guidelines, which emphasize exam priorities, recommendations, and future goals/needs of the Academic Computing Program.

Recommendation: Retain in office permanently.

**Disposition
Approved
8/20/08**

APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)

Application No. 07-09
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Item No.

Record Series Title, Description and Recommendation

Action Taken

PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
LIBRARY AND INFORMATION SERVICES (LOVEJOY LIBRARY)
TECHNICAL SERVICES
ACQUISITIONS
805 Series

Item No.

Record Series Title, Description and Recommendation

Action Taken

PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
LIBRARY AND INFORMATION SERVICES (LOVEJOY LIBRARY)
ACCESS SERVICES

810.001 Circulation Databases (Electronic Media) (Originals)

Dates: 1980-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological /Numerical

This series contains the electronic databases constructed and maintained by the library as indexes and finding aids for its catalogue holdings, related patron files (listing names of patrons, social security nos., addresses, and other identifying information), and as systems interfaced with library check-out systems and rules. Also included is a database used for tracking local library circulation of materials other than books, such as CD's government documents, and maps. The databases comprising the series are backed up on computer tapes rotated at off-site locations in weekly and monthly cycles as determined by the database administrator(s). The tape rotations ensure access to the complete databases at all times.

Recommendation: Retain for five (5) years lapsed from the date of data entry then destroy in a secure manner providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

(All computer and/or digital media maintenance and preservation procedures are to be fully applied. If equipment and programs which provide access to the database(s) involved are updated or replaced, the existing data must remain accessible in the successor format for the duration of the approved retention period.)

**Disposition
Approved as
Amended
8/20/08**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
Page 130 of 206**

Item No.	Record Series Title, Description and Recommendation	Action Taken
810.002	<p>Circulation Reserve System Forms (Originals)</p> <p>Dates: 1972- Volume: 4 Cubic Feet Annual Accumulation: Negligible Arrangement: Chronological/Alphabetical</p> <p>The forms in this series are used to reserve materials for university faculty research and instruction. The reservations are renewable quarterly.</p>	
	<p>Recommendation: Retain in office for four (4) months, then dispose of.</p>	<p>Disposition Approved 8/20/08</p>
810.003	<p>Courtesy Borrowing Files for Alumni and Friends of the Library (Originals)</p> <p>Dates: 1988- Volume: 2 Cubic Feet Annual Accumulation: Negligible Arrangement: Chronological/Alphabetical</p> <p>This series contains the applications and lists of borrowers maintained to administer borrowing privileges granted to alumni and Friends of the Library (i.e., library foundation donors).</p>	
	<p>Recommendation: Retain the applications for one (1) year following expiration, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p> <p>Retain the lists of borrowers for five (5) years then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p>	<p>Disposition Approved 8/20/08</p>

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
Page 131 of 206**

Item No.	Record Series Title, Description and Recommendation	Action Taken
810.004	Interlibrary Loan Files	
	Dates: 1965- Volume: 588 Cubic Feet Annual Accumulation: 12 Cubic Feet Arrangement: Chronological/Numerical	
	<p>This record series item consists of forms documenting a library requesting material from (borrowing), or supplying material to (lending), another library. Transactions may include books, journals, photocopies and copyrighted material.</p>	
	Recommendation: Retain in office for three (3) years after the date of transaction, then destroy in a secure manner, or delete from system, provided all audits have been completed, if necessary, and no litigation is pending or anticipated.	Disposition approved 10/19/16

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
LIBRARY AND INFORMATION SERVICES (LOVEJOY LIBRARY)
DEAN'S OFFICE**

815 SERIES

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
LIBRARY AND INFORMATION SERVICES (LOVEJOY LIBRARY)**

820 SERIES

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
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Item No.

Record Series Title, Description and Recommendation

Action Taken

**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
LIBRARY AND INFORMATION SERVICES (LOVEJOY LIBRARY)
RESEARCH COMMONS**

825 SERIES

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
EDUCATIONAL OUTREACH

900.001 Continuing Education Program Conference Files (Agency Record Copies)

Dates: 1990-
Volume: 24 Cubic Feet
Annual Accumulation: 2 ½ Cubic Feet
Arrangement: Chronological

The offices of Continuing Education structures, coordinates and conducts conferences for the awarding of credit and non-credit continuing education units to successful participants/enrollees. This series contains the conceptual and organizational records of those conferences, which include receipts of participant/enrollee fee payments, participant/enrollee attendance records, written evaluations of the conferences by the participant/enrollees, related correspondence, and supporting workpapers with attachments.

Recommendation: Retain in office the participant/enrollee fee payment receipts and attendance records for three (3) years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

Retain all other record series documents in office for ten (10) years, then transfer to the University Archives. [University Archives staff will review all accumulations of this series transferred accordingly and dispose of all routine documents after retaining all other record series items permanently.](#)

**Disposition
Approved
8/20/08**

APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)

Application No. 07-09
Page 136 of 206

Item No.	Record Series Title, Description and Recommendation	Action Taken
900.002	Records of Continuing Education Units Awarded to Conference Participants and Enrollees (Agency Record Copies) Dates: 1973- Volume: 3 Cubic Feet Annual Accumulation: Negligible Arrangement: Chronological/Alphabetical This series consists of the original documentation of credit and non-credit continuing education units awarded to successful conference participants and enrollees. Recommendation: Retain permanently	Disposition Approved 8/20/08

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF DENTAL MEDICINE
DEAN'S OFFICE

950.001 Patient Records (Originals)

Dates: 1973-
Volume: 950 Cubic Feet
Annual Accumulation: 25 Cubic Feet
Arrangement: Numeric by patient number

**THIS APPLICATION
Item #950.001
CANCELLED. SEE
07-09H Item 950.008**

This record series consists of patient information including personal information, radiographs, treatment plans, informed consent forms, health histories, treatment notes, letters to patients, and charting of oral conditions.

Recommendation: Retain in office permanently in hardcopy or microfilm format. Hard copies may be disposed of in a secure manner upon completion of microfilming as required.

**Disposition
approved
as Amended
5/18/11**

950.002 Student Files and Grades (Originals and Duplicates)

Dates: 1972-
Volume: 30 Cubic Feet
Annual Accumulation: 1 Cubic Feet
Arrangement: Alphabetical by name

This record series consists of two sets of documentation: the Admission File and the Academic File. Within the Admission File are applications, transcripts, residency documentation, change of name documentation, acceptance letters, transcripts, residency documentation, transcript requests and change of address requests. The Academic File contains copies of progress reports, grade reports, grade changes, student record cores and sign-out cards.

Recommendation: Retain in office permanently in hardcopy or microfilm format. Hard copies may be disposed of in a secure manner upon completion of microfilming as required.

**Disposition
approved
as Amended
5/18/11**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
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Item No.	Record Series Title, Description and Recommendation	Action Taken
950.003	Student Application Files (Not Enrolled) (Originals)	
	Dates: 2005- Volume: 33 Cubic Feet Annual Accumulation: 5 Cubic Feet Arrangement: Alphabetical by name	
	This record series consists of applications, transcripts, residency documentation, change of name documentation, and acceptance letters.	
	Recommendation: Retain in office for three (3) years after the date of document submission, then destroy in a secure manner, provided all audits have been completed, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/11
950.004	Faculty Dental Licenses (Duplicates)	
	Dates: 1972- Volume: Negligible Annual Accumulation: Negligible Arrangement: Alphabetical by name	
	This record series consists of a dental license issued by the Illinois Department of Professional Regulations. The license expires every three (3) years. Originals are maintained in the official faculty personnel file.	
	Recommendation: Retain in office until superseded by new license, then destroy in a secure manner, provided all audits have been completed, if necessary, and no litigation is pending or anticipated.	Disposition Approved as Amended 5/18/11
950.005	Dean's Office and Faculty Committee Files (Originals)	
	Dates: 2000- Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological by year	
	This record series consists of original committee minutes and agendas, materials on ad-hoc committees appointed by the Dean, committee operating papers, student disciplinary files and annual reports.	

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
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Item No.	Record Series Title, Description and Recommendation	Action Taken
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Recommendation:	Retain any routine documents in office for seven (7) years, then destroy in a secure manner, provided all audits have been completed, if necessary, and no litigation is pending or anticipated. All remaining accumulations (including original minutes and agendas, committee operating papers and annual reports) are to be transferred to the University Archives for permanent retention. Retain files dealing with student disciplinary matters in office for four (4) years from the date of the final decision of the committee, except under special circumstances as required by State or Federal law, then destroy in a secure manner, provided all audits have been completed, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/11
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950.006 Patient Billing and Insurance Files and Related Reports (Originals)

Dates: 1973-
Volume: 60 Cubic Feet
Annual Accumulation: 2 Cubic Feet
Arrangement: Alphabetical and Chronological

This record series consists of report of daily patient charges, listing of patient payments, listing of payments by mail including Medicaid and insurance payments, listing of all adjustments to patient accounts, copies of all checks or credit card receipts, copies of all collection reports, daily cash drawer counts and balancing sheets, patient correspondence, and claim forms.

Recommendation:	Retain in office for six fiscal (6) years, then destroy in a secure manner, provided all audits have been completed, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/11
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950.007 Foundation Account Files (Duplicates)

Dates: 2001-
Volume: 6 Cubic Feet
Annual Accumulation: ½ Cubic Feet
Arrangement: By account and fiscal year

This record series consists of copies of records of foundation donations, deposits, monthly balance reports and payments. Original documents are

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
Page 140 of 206**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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maintained by the SIUE Foundation, Bursar, and Accounts Payable offices.

Recommendation: Retain in office three fiscal (3) years, then destroy in a secure manner, provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/11**

950.008 Patient Records

Dates: 1973-
Volume: 950 Cubic Feet
Annual Accumulation: 25 Cubic Feet
Arrangement: Numerical by patient number

950.008 no longer includes "Radiographs." i.e.. Dental X-rays SEE ITEM #950.009

This record series consists of original patient records maintained by the School of Dental Medicine including; personal information, radiographs, treatment plans, informed consent forms, health histories, treatment notes, letters to patients, and chartings of oral conditions. The "Illinois Dental Practice Act" (225 ILCS 25/50) requires that dental records be maintained for a period of ten (10) years.

This item supersedes item 950.001 of State Records Application 07-09 in order to reduce the length of retention from "permanent" to ten (10) years for adult patients and eighteen (18) years for pediatric patients per agency request.

Recommendation:

- a) Retain adult dental records for ten (10) years following the date of last appointment, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.
- b) Retain pediatric dental records for eighteen (18) years from the last active visit, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition
approved
12/19/12**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
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Item No.	Record Series Title, Description and Recommendation	Action Taken
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950.010 Dental School Graduate Resident Files

Dates: 1984-
Volume: 6 Cubic Feet
Annual Accumulation: 1 Cubic Feet
Arrangement: Chronological

This record series consists of the files of dental school graduates who have been accepted into the residency program. The resident files may include applications, licenses, diplomas, transcripts, production reports, stipend agreements, contracts, evaluations, audit forms, exams, and any related disciplinary information.

Recommendation: Retain in the office for seven (7) years after the date of acceptance into the dental school, then microfilm and destroy the hard copies in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated. Retain all record series microforms for fifty-eight (58) years after the date of acceptance into the dental school, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Deferred
2/19/14**

**Disposition
approved
as rewritten
3/19/14**

Item No.

Record Series Title, Description and Recommendation

Action Taken

PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF DENTAL MEDICINE
RADIOLOGICAL CONTROL

1000.001 Application for Procurement of Radioisotopes (Originals)

Dates: 1980-
Volume: ½ Cubic Feet
Annual Accumulation: Negligible
Arrangement: Alphabetical by name

This record series consists of documents, which authorize the use of radioisotopes at the university's Dental School, as regulated under the provisions of 420 ILCS 40/28 (1996 State Bar Edition).

Data include general information (i.e., date, status of application, name of applicant, department, sealed or unsealed radionuclides, maximum amount of activity (i.e., MCI's) for possession, location of use, location of storage, proposed plan of use, monitoring/survey equipment available, type of waste, and certification); facility description (i.e., location, sketch of facility, construction materials, number of persons normally in area, listings of monitoring devices available for use, staff number in charge); statement of training (i.e., dates and location of training, experience, remarks) and occupational radiation exposure history (i.e., name and sociological data of individual, history of external and internal exposure, accumulated occupational dose total, and permissible dose calculation).

SIU-Carbondale permanently maintains "Radiological Safety Authorization File" per item 155.08 of Application 97-43 OK. SIU-School of Medicine maintains "Radioisotope/Mater Inventories" for fifty (50) years following final disposition of radioisotope per its applicable approved records disposition application item.

Recommendation: Retain in office permanently.

**Disposition
Approved
8/20/08**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
1000.002	Facility Licensure Files (Agency Record Copies)	
	Dates: 1978- Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological	
	<p>This record series consists of files which document the licensure of x-ray machines and radioisotopes used by the Dental School, pursuant to the provisions at 420 ILCS 40/10 (1996 State Bar Edition). Licenses are renewed by the State Department of Nuclear Safety every five (5) years.</p> <p>Contents include applications for licensure, license to operate with radioisotopes and x-ray machines, amendments to the license, and supporting correspondence.</p> <p>The Illinois Department of Emergency Management permanently maintains "State License Files, Including License Files Maintained Pursuant to Agreement With the Nuclear Regulatory Commission". (Radon Industry Licensing Files – Application 88-50X, item 180.19)</p>	
	Recommendation: Retain in office permanently.	Disposition Approved 8/20/08
1000.003	Radiation Exposure Reports (Originals)	
	Dates: 1971- Volume: 3 Cubic Feet Annual Accumulation: Negligible Arrangement: Chronological by month	
	<p>This record series consists of documents which measure the cumulative amount of radiation received by staff/students, as recorded pursuant to the provisions of 420 ILCS 40/29 (1996 State Bar Edition).</p> <p>Data include badge number, type of badge, name of individual, social security number, badge date, penetrating and non-penetrating information (i.e., X-B-G), neutron statistics, deep dose/shallow dose information, unused permissible dose, date of birth/sex, and service start date.</p> <p>SIU-Carbondale permanently maintains "Personnel Occupational Exposure Rate Records" per item 155.06 of Application 97-43 OK. The State Department of Nuclear Safety permanently maintains "Radiation Exposure Report Files" per item 220.09 of Application 88-50.</p>	
	Recommendation: Retain in office permanently.	Disposition Approved 8/20/08

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
1000.004	SIU-Edwardsville Laboratory Survey Reports (Originals)	
	Dates: 1992- Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological by year	
	<p>Data include building and room number, inspection date, supervisor, number of persons in lab, isotope identification number, chemical form, amount on hand, wipe test results, areas of contamination, any corrective procedures, badge status, equipment quality (i.e., gloves, trays, hoods), posting requirements (i.e., storage areas, waste containers) and survey performance.</p> <p>The State Department of Nuclear Safety now the Illinois Department of Emergency Management maintains "Non-Departmental Inspector Survey Report Files" for nine (9) years following final report per item 84 of Application 88-50. SIU-School of Medicine maintains "Laboratory Radiological Surveys" for nine (9) years following completion of survey per its applicable approved records disposition application item.</p>	
	Recommendation: Retain in office for nine (9) years following completion of survey, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 8/20/08
1000.005	Radiological Control Administrative Correspondence and Related Documents (Agency Record Copies)	
	Dates: 1974- Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological by year, Alphabetical by topic	
	<p>This record series consists of incoming and outgoing correspondence exchanged by the Radiological Control Office and other agency offices, students, and interested groups and individuals (i.e., Nuclear Regulatory Commission and Illinois Department of Emergency Management) external to the university. Files also include inner-office memorandum, drafts, and working papers.</p>	
	Recommendation: Retain in office for three (3) years, then transfer to the University Archives. University Archives staff is to review all accumulations transferred accordingly and dispose of all routine documents after retaining all other record series items permanently.	Disposition Approved 8/20/08

APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)

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Item No.	Record Series Title, Description and Recommendation	Action Taken
1100.001	International Student Pending Files (Agency Record Copies)	MOVED TO 07-12 TEMS 220-01- 220.04
	<u>VICE CHANCELLOR FOR STUDENT AFFAIRS</u> <u>INTERNATIONAL STUDENT SERVICES</u>	
	Dates: 1990- Volume: 2 Cubic Feet Annual Accumulation: Negligible Negligible Arrangement: Alphabetic Alphabetical	MOVED BACK TO 07-09 ITEMS 1100.001- 1100.004 1/12/18
	<p>This record series consists of documentation retained on international students who have been accepted to the university including copies of admissions files, letters of acceptance, financial data, copies of I-20's and all related correspondence.</p>	
	Recommendation: Retain for (2) years after date of acceptance, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 8/20/08
1100.002	Immigration Files (Agency Record Copies)	
	Dates: 1965- Volume: 6 Cubic Feet Annual Accumulation: Negligible Arrangement: Alphabetical	
	<p>This record series consists of documentation retained on all international students including: copies of I-20's, copies of passports, INS transactions, financial data and all related correspondence.</p>	
	Recommendation: Retain in office permanently.	Disposition Approved 8/20/08

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
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Item No.	Record Series Title, Description and Recommendation	Action Taken
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1100.003 Foreign Faculty Files (Agency Record Copies)

Dates: 1986-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Alphabetical

This record series consists of faculty files retained on persons hired on a non-immigrant basis including copies of immigration documents, DS 2019, vita and any related correspondence/memoranda. Original Civil Service, Professional and Faculty Personnel Files are maintained for sixty-five (65) years by the agency's Personnel Office per items 150.19 and 150.20 of Application 98-54 OK

Recommendation: Other than Faculty Personnel Files retain in office for five (5) years following separation from employment, then destroy in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

For Faculty Personnel Files, retain in office for five (5) years following separation from employment, the completion of all audits under the supervision of the Auditor General if necessary and the final disposition of any litigation and/or claims involving the employee, then transfer the series to the custody of the University Archives for review. University Archives staff is to review all accumulations transferred accordingly and dispose of all routine documents after retaining all other record series items permanently.

**Disposition
Approved
8/20/08**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
1100.004	Orientation Files (Agency Record Copies)	
	Dates: 1990- Volume: 3 Cubic Feet Annual Accumulation: Negligible Arrangement: Chronological	
	<p>This record series consists of program files for the orientation of international students including: workshop schedules/data, campus tour information, handouts, local bank resource information and all related correspondence.</p>	
	Recommendation: Retain in the office for three (3) years, then transfer to the University Archives. University Archives staff is to review all accumulations transferred accordingly and dispose of all routine documents materials after retaining all other record series items permanently. .	Disposition Approved 8/20/08
1100.005	International Student Pending Files (Admitted and Not Enrolled) (Agency Record Copies)	
	Dates: 1990- Volume: 2 Cubic Feet Annual Accumulation: Negligible Arrangement: Alphabetical	
	<p>This record series consists of documentation retained on international students who have been admitted to the University, but who did not enroll. Documentation may include the student's admittance letter and a copy of the top half of the first page of the student's I-20, or, in the case of a visiting student, the top half of the student's Designated Sponsor Form 2019.</p>	
	<p><u>This item supersedes approved State Records Application No. 07-09, item 1100.001, in order to update the record series title and description, per agency request.</u></p>	
	RETENTION: Retain for two (2) years after date of admittance to the University, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.	Disposition approved 4/18/18

APPLICATION FOR AUTHORITY
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Item No.	Record Series Title, Description and Recommendation	Action Taken
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1100.006 Student Immigration Files (Agency Record Copies)

Dates: 1965-
Volume: 6 Cubic Feet/2.25 Megabytes
Annual Accumulation: Negligible
Arrangement: Alphabetical

This record series consists of agency record copies of immigration documents regarding each international student’s immigration status during his or her enrollment at Southern Illinois University – Edwardsville. File contents include:

- A. Certificate of Eligibility for Nonimmigrant Status (e.g.: F Students – academic and language students; or M Students - vocational students), currently I-20 forms;
- B. Certificate of Eligibility for Exchange Visitor Status (J-Nonimmigrant), currently DS-2019 forms;
- C. Copies of passports and visas; and
- D. Other supporting documentation and/or related correspondence.

Original immigration documents are maintained in the Department of Homeland Security’s (DHS) web-based Student Exchange and Visitor Information System (SEVIS).

[Applicable Citations: The Immigration and Nationality Act (McCarran – Walter Act) [P.L. 82-414; 66 Stat. 163] and any subsequent amendments; 8 CFR Parts 103, 214, 248 and 274a; and Retention and Reporting Information for F, J, and M Nonimmigrant’s/SEVIS [67 FR 76256].]

This item supersedes approved State Records Application No. 07-09, item 1100.002, in order to update the record series title and description, and to reduce the retention period from “permanent” to “three (3) years” pursuant to the Department of Homeland Security, “SEVP’s (Student and Exchange Visitor Program) governing regulations for students and schools” (8 CFR 214.3(g), Recordkeeping and reporting requirements), per agency request.

RETENTION:	Retain for three (3) years after date of graduation or date of last attendance, then destroy in a secure manner or delete from system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.	Disposition approved 4/18/18
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APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)

Application No. 07-09
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Item No.	Record Series Title, Description and Recommendation	Action Taken
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1100.007 Foreign Faculty Files (Agency Record Copies)

Dates: 1986-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Alphabetical

This record series consists of faculty files retained on persons hired on a non-immigrant basis. Files may include copies of:

- A. Immigration documents;
- B. Certificate of Eligibility for Nonimmigrant Status, currently DS-2019 forms;
- C. Vita;
- D. Passports and visas; and
- E. Other supporting documentation and/or related correspondence/memoranda.

Original Personnel Files (Civil Service Employees) and Personnel Files (Professional and Faculty Employees) are maintained for sixty-five (65) years by the agency's Office of Human Resources per items 150.14 and 150.15, respectively, of approved State Records Application No. 07-11.

This item supersedes approved State Records Application No. 07-09, item 1100.003, in order to change transfer of Faculty Personnel Files from the University Archives to the Office of Human Resources; and to remove the University Archives staff review language from the retention, per agency request.

RETENTION:

- A. Retain Other than Faculty Personnel Files in office for five (5) years after separation from employment, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated. Electronic records must be retained in compliance with 44 Ill. Adm. Code 4400.50, 4400.70, and 4400.80.
- B. Retain Faculty Personnel Files in the respective academic department for five (5) years after separation from employment, all audits have been completed, if necessary, and final disposition of any litigation and/or claims involving the employee, then transfer to the University's Office of Human Resources. Electronic records must be retained in compliance with 44 Ill. Adm. Code 4400.50, 4400.70, and 4400.80.

**Disposition
approved
4/18/18**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
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Item No.	Record Series Title, Description and Recommendation	Action Taken
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ASSISTANT PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
ASSISTANT VICE CHANCELLOR FOR ENROLLMENT MANAGEMENT
OFFICE OF THE REGISTRAR

1200.001 Cooperating Teacher Scholarship Tuition Waiver Log (Originals)

Dates: 1992-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological by year

This record series consists of logs verifying that tuition waivers given to supervisory teachers who were responsible for training student teachers at SIU-E have been received in the office and forwarded appropriately.

Data include card number, name of student using card, student ID number, term number of hours for tuition credit, date to Financial Aid Office, and date sent to CECA (Clinical, Experience, Certification, and Advisement Office).

Recommendation: Retain in office for five (5) years following graduation or last date of attendance of the respective supervisory teachers, then destroy in secure manner all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved as
Amended
8/20/08**

1200.002 Evening/Weekend Payment Forwarding Log (Originals)

Dates: 1990- 2004
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological by year

This record series consists of logs, which verify delivery of payment and associated items by staff of the Service Center.

Data include date of payment, payment received by, form of payment, amount, description of service, name of individual, student ID number, forwarded to, delivered by, and date of delivery.

Recommendation: Retain in office for six (6) years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved as
Amended
8/20/08**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
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Item No.	Record Series Title, Description and Recommendation	Action Taken
1200.003	Red and Evening Parking Decal Log (Originals)	
	Dates: 1991- Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological by year	
	This record series consists of logs, which verify parking permits sold in the office and receipt of payment and forms at Parking Services.	
	Data include decal number, sold by, date sold, student name, student ID Number, how paid, and delivered/received by.	
	Southern Illinois University-Carbondale retains "Vehicle Registration Forms" for four (4) years per item 130.14 of Application 87-65.	
	Recommendation: Retain in office for four (4) years, then dispose of in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 8/20/08
1200.004	Service Requests Forwarding Logs (Originals)	
	Dates: 1988- 2007 Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological by year	
	This record series consists of forms, which are used by Service Center staff to record details about services requested by students and others and to track the processing of the requested service.	
	Data include date, name, student ID number, work phone, home phone, type of service, signature (when needed), and action required.	
	Recommendation: Retain in office of two (2) years, then dispose of in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 8/20/08

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
Page 155 of 206**

Item No.	Record Series Title, Description and Recommendation	Action Taken
1200.005	Evening and Weekend Forwarding Log (Discontinued)	
	Dates: 1988-1998 Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological by year	
	This record series consist of logs that verify receipt of items and papers delivered by office staff.	
	Recommendation: Dispose of accumulation.	Disposition Approved as Amended 8/20/08
1200.006	Tally of Registrations, Program Changes, Withdrawals Completed in the Evening/Weekend Services Office (Discontinued)	
	Dates: 1992-1998 Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological by year	
	This record series consists of statistics compiled to represent the number of student registrations, program changes, and withdrawals processed by Evening and Weekend Student Services.	
	Recommendation: Retain in office for two (2) years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 8/20/08

Item No.

Record Series Title, Description and Recommendation

Action Taken

ASSISTANT PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
COLLEGE OF ARTS AND SCIENCES
ARTS AND ISSUES

1300.001 Arts/Issues Advisory Board File (Agency Record Copies)

Dates: 1985-
Volume: 17 Cubic Feet
Annual Accumulation: 1 Cubic Feet
Arrangement: Chronological by year

This record series consists of files, which document the activities of the Arts/Issues.

Contents include contracts between the university and various artists, minutes of the Arts/Issue, fiscal data (i.e., bills, invoices, budget records), grant information (i.e., proposals, acceptances, award letters), annual reports, and supporting correspondence.

Central copies of contracts and related bid/procurement records are to be maintained by the agency's Purchasing Office. Original contracts exceeding \$5,000 are maintained for five (5) years following completion by the state Comptroller's Office per Application 96-32, item 3. Also, central copies of vouchers and invoices are scheduled by the University's Accounting Office.

Recommendation: Retain in office for five (5) years following completion of all contracts, the completion of all audits under supervision of the Auditor General if necessary, and the final disposition of any litigation or claims surrounding the contracts, then transfer to University Archives. University Archives Staff are to review all accumulations of the series transferred accordingly and dispose of all routine documents after retaining all other record series items permanently.

**Disposition
Approved
8/20/08**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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ASSISTANT PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS

COLLEGE OF ARTS AND SCIENCES
ARTS AND ISSUES

1400.001 Foundation Fundraising Files (Agency Record Copies)

Dates: 1985-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological by fiscal year

This record series consists of all documentation retained on foundation fundraising efforts including; lists of donors, reception lists, deposits and related correspondence/memoranda.

Recommendation: Retain in office for five (5) years and the completion of all audits under the supervision of the Auditor General, if necessary, then transfer to the University Archives. University Archives staff is to review all accumulations transferred accordingly and dispose of all routine documents after retaining all other record series items permanently.

**Disposition
Approved
8/20/08**

1400.002 Needs Assessments and Feasibility Studies for New Theater Building (Agency Record Copies)

Dates: 1991-1994
Volume: 3 Cubic Feet
Annual Accumulation: N/A
Arrangement: Chronological

This record series consists of documentation retained on studies, which were completed to evaluate the feasibility of building a new performing arts theater on the SIU-E campus. File series contents include: site photos and drawings; consultant contracts; site visit evaluations; feasibility studies and final reports.

Recommendation: Transfer accumulation to the University Archives for permanent retention.

**Disposition
Approved
8/20/08**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
Page 158 of 206**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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1400.003 Events Files (Agency Record Copies)

Dates: 1985-
Volume: 9 Cubic Feet
Annual Accumulation: ½ Cubic Feet
Arrangement: Chronological

This record series consists of documentation retained on the planning, promotion and set up of special events: (e.g. concerts, lectures) sponsored by the university. Contents include: press releases, copies of contracts; marketing data; performer’s biographies and background information; production technical requirements; copies of tickets and programs and all related correspondence and memoranda

Contents include contracts between the university and various artists, minutes of the Arts/Issue, fiscal data (i.e., bills, invoices, budget records), grant information (i.e., proposals, acceptances, award letters), annual reports, and supporting correspondence.

Central copies of contracts and related bid/procurement records are to be maintained by the agency’s Purchasing Office. Original contracts exceeding \$5,000 are maintained for five (5) years following completion by the state Comptroller’s Office per Application 96-32, item 3. Also, central copies of vouchers and invoices are scheduled by the University’s Accounting Office.

Recommendation: Retain in office for five (5) years and the completion of all audits under the supervision of the Auditor General, if necessary, then transfer to the University Archives. University Archives staff is to review all accumulations transferred accordingly and dispose of all routine documents after retaining all other record series items permanently.

**Disposition
Approved
8/20/08**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
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Item No.	Record Series Title, Description and Recommendation	Action Taken
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**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
ASSISTANT VICE CHANCELLOR FOR ENROLLMENT MANAGEMENT
ADMISSIONS
ACADEMIC MAILING SERVICES**

1405.001 **Postal Records (Second Class and Bulk Mailing Forms) (Agency Record Copies)**

Dates: 1989-
Volume: 7 ½ Cubic Feet
Annual Accumulation: ½ Cubic Feet
Arrangement: Chronological by year

This record series consists of University Admission publications sent to prospective students. Information within the packets is designed to meet the student's requests.

Recommendation: Retain in office for four (4) years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
8/20/08**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
ASSISTANT VICE CHANCELLOR FOR ENROLLMENT MANAGEMENT
ADMISSIONS

1410.001 High School Recruitment Files (Agency Record Copies)

Dates: 1987-
Volume: 11 Cubic Feet
Annual Accumulation: 1 Cubic Feet
Arrangement: Alphabetical by name

This record series consists of files which summarize efforts to enroll students from secondary schools.

Contents include lists of prospective students and supporting correspondence.

Recommendation: Retain in office for three (3) years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
8/20/08**

1410.002 Visitation Reports (Originals)

Dates: 1987-
Volume: ½ Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological by year

This record series consists of forms which tally and describe visitations between university officials and secondary school staff pertinent to the recruitment of high school students.

Data include number of students met with, type of contact person, description of visitation, and perception of visitation.

This information is also included as a tally of all data on the annual report compiled each May/June.

Recommendation: Retain in office for two (2) years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
8/20/08**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
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Item No.	Record Series Title, Description and Recommendation	Action Taken
1410.003	Summary of Admission Standards and Graduation Requirements	
	Dates: 1972- 2000 Volume: Negligible Annual Accumulation: Negligible Arrangement: N/A	
	<p>This is a narrative summary of admissions standards and graduation requirements used in administering graduate studies admissions and degree awards.</p>	
	Recommendation: Retain in office until revised, then transfer to the University Archives of permanent retention.	Disposition Approved 8/20/08
1410.004	Inactive Applications for Admission to Graduate Studies with Supporting Documents	
	Dates: 1972- 2000 Volume: 18 Cubic Feet Annual Accumulation: 1 ½ Cubic Feet Arrangement: Chronological and Alphabetical	
	<p>These are applications for admission to graduate studies with supporting documents, including copies of transcripts and letters of recommendation, which are inactive from the failure of accepted applicants to enroll or the denial of applications following review. Applications are valid for three (3) years following initial submission, after which time applicants must fully re-apply to reinstate candidate status.</p>	
	Recommendation: Retain in office for three (3) years following the attainment of inactive status, then destroy in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 8/20/08

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
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Item No.	Record Series Title, Description and Recommendation	Action Taken
1410.005	Prospective Student Records (Originals)	
	Dates: 2014- Volume: 16 GB Annual Accumulation: 16 GB Arrangement: Alphabetical by name	
	<p>This record series consists of individual student information that is either purchased from various companies or generated from inquiries about SIUE. All data is collected and stored electronically within the various Customer Relationship Management Systems.</p>	
	Recommendation: Retain in office for five (5) years after the date of generation, then destroy in a secure manner or delete from system provided all audits have been completed and no litigation is pending or anticipated	Disposition approved 10/19/16

APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)

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Item No.

Record Series Title, Description and Recommendation

Action Taken

PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
ASSISTANT VICE CHANCELLOR FOR ENROLLMENT MANAGEMENT

OFFICE OF THE REGISTRAR

1420.001 ACT Scoring Sheets – No Applications Filed (Agency Record Copies)

Dates: 1987-
Volume: 16 Cubic Feet
Annual Accumulation: 1 ½ Cubic Feet
Arrangement: By test date/Alphabetical name of student

This record series consists of listings of ACT test scores of students who have sent an ACT exam to the University without a corresponding application for admission.

Recommendation: Retain in office for one (1) year then dispose of in a secure fashion

**Disposition
Approved
8/20/08**

Item No.

Record Series Title, Description and Recommendation

Action Taken

PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
ASSISTANT VICE CHANCELLOR FOR ENROLLMENT MANAGEMENT

OFFICE OF THE REGISTRAR

1500.001 ACT Scoring Sheets (Agency Record Copies)

Dates: 1987-
Volume: 16 Cubic Feet
Annual Accumulation: 1 ½ Cubic Feet
Arrangement: By test state, Alphabetical by name of student

This record series consists of listings of ACT test scores of all high school students who have taken an ACT exam. This information is captured within the university's master student academic files.

Recommendation: Retain in office for one (1) year, then dispose of in a secure fashion

**Disposition
Approved
8/20/08**

1500.002 Course Request Forms (Series A, B, BB, BBB) (Originals)

Dates: 1957-1993
Volume: 72 Cubic Feet
Annual Accumulation: 24 Cubic Feet
Arrangement: Alphabetical by name of student/quarterly

This record series consists of a copy of the courses requested by a student, issued by his/her advisor. This record is used for registration time.

Recommendation: Microfilm record series as generated then dispose of hard copy documents in a secure fashion, provided all audits have been completed under the supervision of the Auditor General, if necessary and no litigation is pending or anticipated. All microfilm is to be retained permanently by the Admissions & Records Office.

**Disposition
Approved
8/20/08**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
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Item No.	Record Series Title, Description and Recommendation	Action Taken
1500.003	Student and Staff ID Card Processing and Information Forms (Originals)	
	Dates: 1994- Volume: 10 Cubic Feet Annual Accumulation: 21 Cubic Feet Arrangement: Alphabetical	
	his record series consists of forms used to compile the necessary information for student and staff who require a new ID badge or duplicate ID as a result of misplacement of loss.	
	Recommendation: Retain in office for two years, then destroy in a secure manner providing all audits have been completed under the authority of the Auditor General, if required, and provided no litigation is pending or anticipated.	Disposition Approved As amended 8/20/08

Item No.

Record Series Title, Description and Recommendation

Action Taken

PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
ASSISTANT VICE CHANCELLOR FOR ENROLLMENT MANAGEMENT AND REGISTRAR
CAREER DEVELOPMENT CENTER

1510.001 Summary of Admission Standards and Graduation Requirements (Originals)

Dates: 1972-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: N/A

ITEMS 1510.001-
1510.005 moved to
App 07-12
NOW(230.01-230.05)

This is a narrative summary of admissions standards and graduation requirements used in administering graduate studies admissions and degree awards.

Recommendation: Retain in office until revised, then transfer to the University Archives for permanent retention.

**Disposition
Approved
8/20/08**

1510.002 Inactive Applications for Admission to Graduate Studies with Supporting Documents (Agency Record Copies)

Dates: 1972-
Volume: 18 Cubic Feet
Annual Accumulation: 1 ½ Cubic Feet
Arrangement: Chronological and Alphabetical

These are applications for admissions to graduate studies with supporting documents, including copies of transcripts and letters of recommendation, which are inactive from the failure of accepted applicants to enroll or the denial of applications following review. Applications are valid for three (3) years following initial submission, after which time applicants must fully re-apply to reinstate candidate status.

Recommendation: Retain in office for three (3) years following the attainment of inactive status, then destroy in a secure manner providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved as
Amended
8/20/08**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
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Item No.	Record Series Title, Description and Recommendation	Action Taken
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1510.003 Reference Copies of Academic Transcripts

Dates: 1973-
Volume: 84 Cubic Feet
Annual Accumulation: 3 Cubic Feet
Arrangement: Chronological and Alphabetical

This is an accumulation of reference copies of student academic transcripts collected by the office in its review of admissions applications and related matters of academic accreditation.

The original academic transcripts of enrollees are maintained and scheduled for disposition by the University's Office of Admissions and Records per a separate item of this records disposition application. (This series includes transcripts submitted by both successful and unsuccessful candidates for admission.)

Recommendation: Retain in office for five (5) years lapsed from the date of generation and/or receipt of the transcripts or until expiration of administrative value, whichever is longer, then destroy in a secure manner providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved as
Amended
8/20/08**

1510.004 Career Fair Organizational Records (Agency Record Copies)

Dates: 1982-
Volume: 2 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This series includes the Center's planning and staging records pertinent to "Career Fairs." Series contents include samples of advertising ads that go into the school newspapers, copies of mailings to the student body, copies of budgets allocated for the Fairs, and copies of staff meeting minutes pertinent to the planning and productions of the event.

Recommendation: Retain in office for ten (10) years then transfer to the University Archives. University Archives staff are to review all accumulations of the series transferred accordingly and dispose of all routine documents after retaining all other record series items permanently.

**Disposition
Approved
8/20/08**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
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Item No.	Record Series Title, Description and Recommendation	Action Taken
1510.005	Annual Reports of Career Development Center Administration (Originals)	
	Dates: 1995- Volume: 2 Cubic Feet Annual Accumulation: Negligible Arrangement: Chronological	
	<p>This series consists of annual reports of Career Development Center Administration and goal administration and achievements. Copies are provided to Lovejoy Library for its accessioning and to the Administrative Office of the Vice chancellor for Academic Affairs and Provost.</p>	
	Recommendation: Retain in office for ten (10) years then transfer to the University Archives for permanent retention.	Disposition Approved 8/20/08

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
UNIVERSITY SERVICES TO EAST ST. LOUIS
EAST ST. LOUIS CENTER

1600.001 Program/Project Formulation and Implementation Records (Agency Record Copies)

Dates: 1966-
Volume: 25 Cubic Feet
Annual Accumulation: ¾ Cubic Feet
Arrangement: Chronological

This series consists of the Center’s documentation of its role in the formulation and implementation of its assigned grant programs/projects. Such grant programs/projects documented include: the Upward Bound and Science Awareness Programs, which target first generation college youth; Project STEP (i.e., Special Training Education Program) and Project Success, which serve abuse, neglected, and other disadvantaged youth through DCFS referrals; Project PALS, which is a “latch key” program aimed at servicing children during the immediate hours before and after school to assist working parents; and the Head Start Program, a child development program administered under Center auspices in East St. Louis and its localities in behalf of the Department of Children and Family Services and the US Department of Health and Human Services

File series contents include: grant proposals (successful and unsuccessful); reference duplicates of program/project sub-contracts; any amendments to program/project proposals; annual status reports; final program/project evaluations; and related correspondence/memoranda.

Recommendation: Retain in office five (5) years following the termination and/or completion of the corresponding grant project(s), then dispose of providing all audits (federal and state) have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated, and providing all final reports of the grant program results are sent the University Archives for permanent retention.

Retain unsuccessful grant applications, proposals, and related documents for three (3) years lapsed from the date of application or notification of rejection by the granting entity, then dispose of providing all audits (state and federal) have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
8/20/08**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
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Item No.	Record Series Title, Description and Recommendation	Action Taken
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1600.002 Experimental Higher Education Curriculum Student Records (Duplicates)

Dates: 1966-
Volume: 42 Cubic Feet
Annual Accumulation: 1 ½ Cubic Feet
Arrangement: Chronological and Alphabetical

 This series consists of the Center’s copies of Experimental Higher Education Curriculum student records, which are principally comprised of academic transcripts and attendant student registration and advisement forms. .

Recommendation: Retain in office until the lapse of five (5) years from the last date of enrollment or graduation of the respective student(s), then destroy in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
8/20/08**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
OFFICE OF RESEARCH AND PROJECTS
GRADUATE SCHOOL

1700.001 Competitive Graduate Awards Files (Agency Record Copies)

Dates: 1972-
Volume: 1 ½ Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This set of program files document the school's administration of financial assistance grants to graduate student research projects. The series primarily consists of grant proposals and attendant applications for grant assistance (successful and unsuccessful).

Recommendation: For successful grant applications and proposals, retain in office for five (5) years following the date of the final grant award payment, the transfer to the University Archives for permanent retention.

For unsuccessful grant applications and proposals, retain in office for three (3) years lapsed from the date of notification of rejection by the granting entity, then dispose of in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
8/20/08**

1700.002 Graduate Faculty Appointment Review and Appointment Criteria Files

Dates: 1972-
Volume: 4 ½ Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This series documents graduate faculty appointments in the school's assemblage of graduate faculty. The university's central documentation of individual graduate faculty status is maintained within the Graduate School files..

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
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Item No.	Record Series Title, Description and Recommendation	Action Taken
Recommendation:	<p>Retain the graduate faculty appointment forms for five (5) years following separation from employment of the respective faculty member, then destroy in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p> <p>Retain the graduate faculty appointment criteria until revised, then transfer to the University Archives for permanent retention.</p>	Disposition Approved 8/20/08
1700.003	Summary of Admission Standards and Graduation Requirements	
Dates: 1972- Volume: Negligible Annual Accumulation: Negligible Arrangement: N/A	<p>This is a narrative summary of admissions standards and graduation requirements used in administering graduate studies admissions and degree awards.</p>	
Recommendation:	Retain in office until revised, then transfer to the University Archives of permanent retention.	Disposition Approved 8/20/08
1700.004	Inactive Applications for Admission to Graduate Studies with Supporting Documents	
Dates: 1972- Volume: 18 Cubic Feet Annual Accumulation: 1 ½ Cubic Feet Arrangement: Chronological and Alphabetical	<p>These are applications for admission to graduate studies with supporting documents, including copies of transcripts and letters of recommendation, which are inactive from the failure of accepted applicants to enroll or the denial of applications following review. Applications are valid for three (3) years following initial submission, after which time applicants must fully re-apply to reinstate candidate status.</p>	

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
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Item No.	Record Series Title, Description and Recommendation	Action Taken
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Recommendation:	Retain In office for three (3) years following the attainment of inactive status, then dispose of (by shredding) providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 8/20/08
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1700.005 Reference Copies of Academic Transcripts (Duplicates)

Dates:	1973-
Volume:	84 Cubic Feet
Annual Accumulation:	3 Cubic Feet
Arrangement:	Chronological and Alphabetical

This is an accumulation of reference copies of student academic transcripts collected by the office in its review of admissions applications and related matters of academic creditation. The original academic transcripts of enrollees are maintained and scheduled for disposition by the university's Office of Admissions and Records per a separate item of this records disposition application. (This series includes transcripts submitted by both successful and unsuccessful candidates for admission.)

Recommendation:	Retain in office for five (5) years lapsed from the date of generation and/or receipt of the transcripts then destroy in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 8/20/08
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**APPLICATION FOR AUTHORITY
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Item No.	Record Series Title, Description and Recommendation	Action Taken
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1700.006 Graduate School Affiliated Student Organization Support and Oversight File (Originals and Duplicates)

Dates: 1985-
Volume: 2 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This series documents the school's files generated and used for the support and oversight of Graduate School affiliated student organizations. File series contents include: the organization's original constitutions and charters; the organization's publicity files (i.e., photographs, press releases, etc.); the organization's oversight records, which include documents of any disciplinary charges and proceedings lodged and convened against the organizations and student member GPA monitoring results; related budget and fiscal records documenting the organizations' expenditures and support (duplicates); and any related correspondence/memoranda.

Recommendation: Retain in office for five (5) years then destroy in a secure manner the organization related budget and fiscal records and all organization oversight and disciplinary records providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated. Transfer all other record series documents to the University Archives for permanent retention.

**Disposition
Approved as
amended
8/20/08**

1700.007 Fiscal Management and Grant Post Award Records (Originals)

Dates: 1972-
Volume: 6 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of all original externally sponsored (state and federal) grants and contracts post award and fiscal management records that include: award documents; negotiated contracts and amendments; invoices; financial and performance reports; collection reports; correspondence to/from funding agencies; cost transfers; payroll certifications; journal entries; time and effort reports; subcontracts; sub-recipient monitoring records; sub-recipient audit reports; agency specific audit reports; cost share documents; indirect cost recovery and distribution reports. Grant fiscal management records for (a) major construction (e.g. new buildings) and (b) real property and equipment (e.g.

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Item No.	Record Series Title, Description and Recommendation	Action Taken
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computer purchases) are included in this record series.

Recommendation:

a) Major Construction: Retain records in office for ten (10) years from the date of the final expenditure report or, for awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

b) Real Property and Equipment: Retain records for real property in office for twenty (20) years from the date of the final expenditure report or, for awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated. Retain records for equipment in office for three (3) years from the date of the final expenditure report or, for awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

c) General Grant: Retain records in office for five (5) years from the date of the final expenditure report or, for awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

**Disposition
approved as
amended
7/20/11**

**APPLICATION FOR AUTHORITY
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Item No.	Record Series Title, Description and Recommendation	Action Taken
1700.008	Animal Care and Use Records	
	Dates: 1982- Volume: 2 Cubic Feet Annual Accumulation: Negligible Arrangement: Alphabetical	
	<p>This record series consists of animal care forms, animal care protocol forms, animal welfare assurance documents, animal training certificates and continuing review report forms. Forms are completed by faculty, staff and students. These records are maintained for all University departments that receive any type of grant funding for compliance purposes.</p>	
	Recommendation: Retain in office for three (3) years after completion of grant, then destroy in a secure manner or delete from system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.	Disposition approved 12/21/16
1700.009	Responsible Conduct Records	
	Dates: 2004- Volume: Negligible Annual Accumulation: Negligible Arrangement: Alphabetical	
	<p>This record series consists of certificates obtained by on-line mandatory and optional federal compliance training through the Collaborative Institutional Training Institute (CITI) and Epigeum which is a leading provider of exceptional online courses designed to assist universities and colleges transform their core activities in teaching, research, etc. These records are maintained for all University departments that receive any type of grant funding for compliance purposes.</p>	
	Recommendation: Retain in office for three (3) years after completion of grant, then destroy in a secure manner or delete from system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.	Disposition approved 12/21/16

**APPLICATION FOR AUTHORITY
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Item No.	Record Series Title, Description and Recommendation	Action Taken
1700.010	Biohazardous Material Records	
	Dates: 1982- Volume: 2 Cu. Ft. Annual Accumulation: Negligible Arrangement: Alphabetical	
	<p>This record series consists of documents to be completed by faculty, staff and students for when they are required to use biohazardous materials in grant projects and for instruction purposes. The documents include a risk assessment tool to measure the project's level of safety and an application for biohazardous material use. The applications are evaluated by the University's Biosafety Committee. These records are maintained for all University departments that receive any type of grant funding for compliance purposes.</p>	
	Recommendation: Retain in office for thirty (30) years after the date of completion of project, then destroy in a secure manner or delete from system, provided all audits have been completed, if necessary, and no litigation is pending or anticipated.	Disposition approved as corrected 12/21/16
1700.011	Conflict of Interest Records	
	Dates: 2012- Volume: Negligible Annual Accumulation: Negligible Arrangement: Alphabetical	
	<p>This record series consists of a lead investigator form, a general conflict of interest form (C.O.I.) and/or financial disclosure form. The C.O.I. documents potential conflicts of interest involving faculty, staff and students. The financial disclosure forms must be submitted if the grant is funded by a federal agency. The lead investigator is a faculty member who is the head of the project and all investigators are required to complete a financial disclosure form annually. These records are maintained for all University departments that receive any type of grant funding for compliance purposes.</p>	
	Recommendation: Retain in office for three (3) years after the date of completion of the project or for the period required by the federal grant whichever is longer, then destroy in a secure manner or delete from system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.	Disposition approved as amended 12/21/16

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
VICE CHANCELLOR FOR ENROLLMENT MANAGEMENT
OFFICE OF THE REGISTRAR

1800.001 Commencement Bulletins (Agency Record Copies)

Dates: 1957-
Volume: 1 Cubic Feet
Annual Accumulation: Negligible
Arrangement: By term

This record series consists of printed programs used for Commencement. It is not a list of successful graduates, but rather a list of those who were invited to participate in commencement based on anticipated completion of degree requirements. The official record of degree conferral is noted on each student's transcript and is maintained permanently as part of the transcript. The Commencement Bulletin does not serve as an official record.

Recommendation: Retain in office for ten (10) years, then transfer to the University Archives. .

**Disposition
Approved
8/20/08**

1800.002 Course Request Forms (Series A) (Discontinued) (Originals)

Dates: 1957-1973
Volume: 10 Cubic Feet
Annual Accumulation: None
Arrangement: N/A

This record series consists of documents completed by students listing the courses the student requested at registration. These forms were called #2 cards and were used before registration was decentralized.

Recommendation: Dispose of accumulation.

**Disposition
Approved as
Amended
8/20/08**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
1800.003	Enrollment Forms (Originals)	
	Dates: 2003- Volume: 10 Cubic Feet Annual Accumulation: 10 Cubic Feet Arrangement: Term/Alphabetical by student name	
	This record series consists of a form which students complete who want to add/drop classes or withdraw from the University.	
	Recommendation: Retain for two years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 8/20/08
1800.004	Graduation Statistics (Series F, FF) (Originals)	
	Dates: 1957- Volume: 65 Cubic Feet Annual Accumulation: 6 ½ Cubic Feet Arrangement: By term	
	This record series consists of microfiche and hard copy statistical reports summarizing data pertinent to graduation trends pertinent to academic and demographic categories.	
	Recommendation: Retain for two years, then microfilm and dispose of the hard copy documents. . All microfilm copies are to be retained permanently.	Disposition Approved 8/20/08
1800.005	Grade Correction Requests (Agency Record Copies)	
	Dates: 1979- Volume: 6 Cubic Feet Annual Accumulation: Negligible Arrangement: Chronological by term process	
	This record series consists of requests for student grade changes submitted by faculty.	
	Recommendation: Retain in office for five (5) years, then dispose of in a secure fashion providing all audits have been completed	Disposition Approved

**APPLICATION FOR AUTHORITY
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Item No.	Record Series Title, Description and Recommendation	Action Taken
	under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	8/20/08
1800.006	Index Cards for Cross Reference to Student Transcripts (Discontinued) (Originals) Dates: 1972-1983 Volume: 95.5 Cubic Feet Annual Accumulation: -- Arrangement: Alphabetical These are index cards containing printed information that is permanently stored in the student information system. Recommendation: Dispose of accumulation.	Disposition Approved 8/20/08
1800.007	Index Cards Keyed to Transcript Transmittals (Discontinued) (Originals) Dates: 1984-1992 Volume: 39.5 Cubic Feet Annual Accumulation: None Arrangement: Alphabetical Index cards containing staff notes confirming that transcripts were released per student's request. Recommendation: Dispose of accumulation.	Disposition Approved 8/20/08
1800.008	Instructor Grade Rosters (Series D & DD) (Originals) Dates: 1957- Volume: 9.5 Cubic Feet Annual Accumulation: 2.75 Cubic Feet Arrangement: Term/class/section This record series consists of each instructor's final grade reports to the office of the Registrar. Recommendation: Retain permanently.	Disposition Approved 8/20/08

**APPLICATION FOR AUTHORITY
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Item No.	Record Series Title, Description and Recommendation	Action Taken
1800.009	Standard Reports from Computerized Student System (Originals)	
	Dates: 1972- Volume: 60 Cubic Feet Annual Accumulation: 2 Cubic Feet Arrangement: Chronological by term and year	
	Contents include reports that run at specific times during each semester throughout the academic school year. These include enrollment and graduation statistical reports. Copies are distributed to various university offices as needed.	
	Recommendation: Retain permanently.	Disposition Approved 8/20/08
1800.010	Proficiency Test Scores (Series 1) (Originals)	
	Dates: 1983- Volume: Negligible Annual Accumulation: Negligible Arrangement: Term/Alphabetical by student name	
	This record series consists of the proficiency exam files. The records generally include exam answer sheets and report forms for various selected courses.	
	Recommendation: Retain permanently.	Disposition Approved 8/20/08
1800.011	Requests for Admission Files (No shows or inactive) (Agency Record Copies)	
	Dates: 1992- Volume: 252 Cubic Feet Annual Accumulation: 36 Cubic Feet Arrangement: Alphabetical by name of student/by semester	
	This record series consists of individual files on prospective undergraduate students (who sent the university a completed application or a transcript) who did not subsequently enroll at SIU-E.	
	Files include admission applications, ACT scores, high school and college transcripts. Applicants need to reapply if not enrolled within a year from the date of application.	

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Item No.	Record Series Title, Description and Recommendation	Action Taken
Recommendation:	Retain in office for one (1) year and one (1) month lapsed from the date of submission, then dispose of in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 8/20/08
1800.012	SIU-E University Catalogues (Agency Record Copies)	
Dates:	1957-	
Volume:	4.5 Cubic Feet	
Annual Accumulation:	Negligible	
Arrangement:	By term	
	This record series consists of the University's master copies of catalogues (graduate and undergraduate).	
Recommendation:	Retain in office permanently.	Disposition Approved 8/20/08
1800.013	Shurtleff College Catalogues (Agency Record Copies)	
Dates:	1890-1956	
Volume:	3 Cubic Feet	
Annual Accumulation:	N/A	
Arrangement:	Chronological	
	This record series consists of the master catalogues of Shurtleff College.	
Recommendation:	Original documents have been transferred to University Archives for permanent retention. Records were microfilmed before transfer. Microfilm remains in Registrar's Office for permanent retention.	Disposition Approved 8/20/08
1800.014	Student Working Files (Agency Record Copies)	
Dates:	1957-	
Volume:	453 Cubic Feet +	
Annual Accumulation:	28 ½ Cubic Feet	
Arrangement:	By term Alphabetical by student name	
	This series consists of student data related to enrollment, grades and degree completion. Content also includes student requests for non-disclosure of	

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
	<p>directory information, student appeals and subpoena information Does not include student transcripts. They are filed separately see item 1800.021</p> <p>Recommendation: Retain permanently.</p>	<p>Disposition Approved 8/20/08</p>
1800.015	<p>Transcript Request Forms (Agency Record Copies)</p> <p>Dates: 2003- Volume: 2 Cubic Feet Annual Accumulation: 10 Cubic Feet Arrangement: Alphabetical</p> <p> This record series consists of a form which students and graduates complete to request their transcripts.</p> <p>Recommendation: Retain in office for one (1) year.</p>	<p>Disposition Approved 8/20/08</p>
1800.016	<p>Technical & Adult Education Records (TA Series) (Microfilm only)</p> <p>Dates: 1958-1973 Volume: Negligible Annual Accumulation: N/A Arrangement: Alphabetical By name of student</p> <p> This record series consists of the student files of students formerly enrolled in the now obsolete Technical and Adult Education program.</p> <p>Recommendation: Retain in office permanently.</p>	<p>Disposition Approved 8/20/08</p>
1800.017	<p>University Announcements (Agency Record Copies)</p> <p>Dates: 1958-1964 Volume: Negligible Annual Accumulation: None Arrangement: Chronological</p> <p> This record series includes bulletins (undergraduate and graduate) used to describe courses and degree requirements for each degree program. Since 1964 SIUE has not issued a separate publication for this purpose and has incorporated this information in the undergraduate and graduate catalogues.</p>	

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
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Item No.	Record Series Title, Description and Recommendation	Action Taken
Recommendation:	Dispose of accumulation.	Disposition Approved as Amended 8/20/08

**APPLICATION FOR AUTHORITY
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Item No.	Record Series Title, Description and Recommendation	Action Taken
1800.018	Archive Record Cards (Series E) (Originals) Dates: 1957-1969 Volume: 35 Cubic Feet Annual Accumulation: None Arrangement: Alphabetical by student name Recommendation: Retain permanently.	Disposition Approved 8/20/08
1800.019	Operational and Ad Hoc Reports from Computerized Student System (Agency Record Copies) Dates: 1972- Volume: 60 Cubic Feet Annual Accumulation: 2 Cubic Feet Arrangement: Chronological by term and year Contents include reports that run at specific times during each semester throughout the academic school year. These include batch maintenance reports, class registration summary reports, and commencement reports. Recommendation: Retain for two years then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 8/20/08
1800.020	Student Grade Reports (Agency Record Copies) Dates: 1984-2001 Volume: 70 Cubic Feet Annual Accumulation: None (Discontinued) Arrangement: By term/Alphabetical by student name This record series consists of copies of the student grade reports issued for each student enrolled for the term and copies of each revised grade report issued for that term. Grade reports are no longer printed. Students access grades through academic transcripts, which are retained permanently. Recommendation: Dispose of accumulation.	Disposition Approved as Amended 8/20/08

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
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Item No.	Record Series Title, Description and Recommendation	Action Taken
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1800.021 SIUE Student Transcripts (Originals)

Dates: 1957-
Volume: n/a
Annual Accumulation: n/a
Arrangement: Alphabetical by student's last name

All student grade records are stored in an electronic format as part of the student information system. Printouts are generated as needed. Source documents are located in student files which are updated and microfilmed each semester.

Recommendation: Retain permanently.

**Disposition
Approved
8/20/08**

1800.022 Student Records Cards (Agency Record Copies)

Dates: (1957- Winter Quarter 1992)
Volume: 48 Cubic Feet
Annual Accumulation: N/A
Arrangement: By term/Alphabetical by student name

This record series consists of microform and hardcopy student record cards by term for each student enrolled during the term (Series B and BB) and microforms of all student record cards on hand (Series BBB). Filming of record cards by term was discontinued after Winter Quarter 1992 with the conversion of all academic records to the Student Information System. Updates are still made to record cards for reentering students.

Recommendation: Retain permanently.

**Disposition
Approved
8/20/08**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
LEARNING SUPPORT SERVICES

1900.001 Mid-Term Grade Sheets (Originals)

Dates: 1987-
Volume: 12 Cubic Feet
Annual Accumulation: 1 Cubic Feet
Arrangement: Chronological by year, Alphabetical by name

Data include name of student, social security number, assigned grade, test data, and comments. Original final grades are maintained by the agency's Admissions/Records Office on a permanent basis per item 1800.021 of this Application.

Recommendation: Retain in office for five (5) years following the last day of attendance or graduation from the University, then destroy in a secure manner providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved as
Amended
8/20/08**

1900.002 Student Tutorial Files (Originals)

Dates: 1987-
Volume: 11 Cubic Feet
Annual Accumulation: 1 Cubic Feet
Arrangement: Alphabetical by topic

Contents include sign in sheets, log achievement sheets, and syllabi.

Recommendation: Retain in office for five (5) years following the students graduation or last date of attendance, then destroy in a secure manner providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved as
Amended
8/20/08**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
ASSISTANT VICE CHANCELLOR FOR ENROLLMENT MANAGEMENT AND REGISTRARS
STUDENT FINANCIAL AID AND STUDENT EMPLOYMENT

2000.001 Student Employment Files (Originals)

Dates: 1988-
Volume: 60 Cubic Feet
Annual Accumulation: 5 Cubic Feet
Arrangement: Alphabetical by name

This record series consists of files which summarize the employment histories of students working part-time at the university.

Contents include job referral forms, payroll certification documents, federal work-study awards, termination notices, I-9 forms, W-4's, and Student Employee Compliance Agreements.

Recommendation: Retain in office for five (5) years lapsed from the termination of employment or the last date of enrollment of the respective student(s), whichever occurs first, then destroy in a secure fashion, providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
8/20/08**

2000.002 Student Financial Aid Case Files (Originals)

Dates: 1994-
Volume: 360 Cubic Feet
Annual Accumulation: 30 Cubic Feet
Arrangement: Alphabetical by name

This record series consists of files which document student financial aid, and loan assistance.

Contents include anecdotal notes of counselor, applications for assistance, student data sheets, award letters, income tax forms, verification statements of family budget and current financial condition, supplemental worksheets, financial assistance reports, information summary reports, loan data, and supporting correspondence.

Northern Illinois University maintains "Comprehensive Student Assistance Case Files" for five (5) years following graduation or date of last attendance per item 150.21 of Application 89-26.

**APPLICATION FOR AUTHORITY
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Item No.	Record Series Title, Description and Recommendation	Action Taken
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Recommendation:	Retain in office for five (5) years following graduation or last date of attendance, then destroy in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated and all financial assistance accounts have been fully settled and closed (including all account write-offs completed for the closure of uncollectible accounts).	Disposition Approved 8/20/08
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2000.003 Monetary Award Program Printouts (Central Copies)

Dates:	1988-
Volume:	15 Cubic Feet
Annual Accumulation:	3 Cubic Feet
Arrangement:	Chronological

This record series consists listings, submitted by the Illinois Student Assistance Commission, which identify students receiving state, and/or local monies for educational pursuits.

Data include name of student, social security number, amount of awards and amount of total awards. Original "Listings of Grant Fund Payments" are maintained with the Illinois Student Assistance Commission for six (6) years per item 1 of Application 85-8M.

Recommendation:	Retain in office for three (3) then destroy in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 8/20/08
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Item No.

Record Series Title, Description and Recommendation

Action Taken

STUDENT FINANCIAL AID AND STUDENT EMPLOYMENT

2000.004 Student Employment Files

Dates: 1967-
Volume: 256 Cubic Feet
Annual Accumulation: 5 Cubic Feet
Arrangement: Alphabetical

This record series consists of files summarizing the employment histories of students working part-time at the University. Contents may include:

- A. Job referral forms,
- B. Payroll certifications,
- C. Federal work-study awards,
- D. Termination notices,
- E. I-9 forms,
- F. W-4's,
- G. Student Employee Compliance Agreements, and
- H. Department of Children and Family Services' "Acknowledgement of Mandated Reporter Status" forms.

This item supersedes approved State Records Application No. 07-09, item 2000.001, in order to update the record series description, and to increase the retention period from "five (5) years" to "sixty-five (65) years" in order to match the retention period for original Personnel Files (Civil Service Employees) and Personnel Files (Professional and Faculty) maintained for sixty-five (65) years by the agency's Office of Human Resources per items 150.14 and 150.15, respectively, of approved State Records Application No. 07-11, per agency request.

RETENTION: Retain for sixty-five (65) years lapsed from the termination of employment or the last date of enrollment of the respective student(s), whichever occurs first, then destroy in a secure manner or delete from system, provided all audits have been completed, if necessary, and no litigation is pending or anticipated. Electronic records must be retained in compliance with 44 Ill. Adm. Code 4400.50, 4400.70, and 4400.80.

**Disposition
approved
4/18/18**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
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**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCHOOL OF PHARMACY**

2100.001 School of Pharmacy Student Application Files (Originals and Duplicates)

Dates: 2005-
Volume: 1 ½ Cubic Feet
Annual Accumulation: 1 ½ Cubic Feet
Arrangement: Alphabetical

This record series consists of application files of prospective students who applied for admission to the School of Pharmacy but did not actually enroll, were denied admittance and/or never attended after admittance. File series contents include; student inquiries, applications, GPA calculation worksheets, copies of transcripts, document file review forms, interview evaluations and writing assessments. Documentation for applicants who are accepted and enrolled becomes part of their actual student file.

Recommendation: Retain in the office for five (5) years after the date of denial (for denied applications) or the date of receipt of the application (for prospective/no-show students), then dispose of in a secure fashion providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
8/20/08**

2100.002 Foundation Account Files

Dates: 1995-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of duplicate records of foundation donations including deposits, monthly balances/payments, pledge forms, gift documentation, scholarship documents, etc. Originals are maintained by the SIUE Foundation Office.

Recommendation: Retain in office for three (3) years after the date of generation, then destroy in a secure manner or delete from system provided all audits have been completed, if necessary, if necessary, and no litigation is pending or anticipated.

**Disposition
approved
10/19/16**

**APPLICATION FOR AUTHORITY
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Item No.	Record Series Title, Description and Recommendation	Action Taken
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Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
OFFICE OF ACADEMIC ADVISEMENT

2200.001 Student Appeals for Reinstatement Files (Originals)

Dates: 1965-
Volume: 4 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Alphabetical/Chronological

This record series consists of files relevant to a university student's reinstatement from academic suspension. File series contents include the university's reinstatement form along with the response letter from the suspended student that addresses the questions asked in the reinstatement form. The University's policy states that a student has up to three (3) semesters to be reinstated; otherwise, they must re-apply for admission to the University again. These records are not retained as part of any other record series within the University.

Recommendation: Retain in the office for ten (10) years after the date the reinstatement has been resolved, then destroy in a secure manner provided all audits have been completed and no litigation is pending or anticipated.

*Deferred
6/16/10*

*Disposition
Approved as
Amended
7/21/10*

Item No.

Record Series Title, Description and Recommendation

Action Taken

INFORMATION TECHNOLOGY SERVICES
ADMINISTRATIVE OFFICE

2300.01 Risk Management File (Originals) (Hardcopy)

Dates: 1989 -
Volume: 2 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: N/A

**160.01 CANCELLED;
SEE 07-09 2300.001**

This file contains documentation of the offices' risk management policies (i.e., insurance policies or "self insurance" program documentation) implemented to cover equipment that is often in the personal possession of staff so that such coverage is provided outside of staff members' homeowners insurance.

Recommendation: Retain in office for six (6) years following the termination date of the respective risk management policy(s), then dispose of providing all audits have been completed and no litigation is pending or anticipated.

**Disposition
Approved
11/18/09**

2300.02 Service Contracts (Duplicates) (Hardcopy)

Dates: 1982 -
Volume: 2 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Chronological

This file of service contracts is composed primarily of software contracts. The University's Purchasing Office maintains the central copies of these contracts.

Recommendation: Retain in office for three (3) years following the expiration of the respective contract(s), then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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INFORMATION TECHNOLOGY SERVICES
OFFICE MACHINES

2400.01 Annual Typewriter Maintenance Contracts (Originals) (Hardcopy)

Dates: 1990 - 2004
Volume: 2 Cu. Ft.
Annual Accumulation: N/A
Arrangement: Chronological by year

**210-01 MOVED; SEE
2400.001
APPLICATION 07-09**

This record series consists of agreements between agency departments and the Office Machines Unit that authorize the latter office to service/repair typewriters.

Data include name of department, account number, name of liaison contact, phone number, location of equipment, service number, Southern Illinois University tag number, and description of machine.

Recommendation: Retain in office for five (5) years following termination of contract, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
11/18/09**

2400.02 Computer Maintenance and Repair Log (Originals) (Hardcopy)

Dates: 1990 -
Volume: 4 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Chronological by year

**210-02 MOVED; SEE
2400.002
APPLICATION 07-09**

Contents include work order number, department name, account number, tag number, serial number, contact person, location of equipment, type of work performed, description of problem, amount of order, and month voucher was paid.

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
11/18/09**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
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2400.03

Work Orders (Originals) (Hardcopy)

Dates: 1977 - 2004
Volume: 6 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Chronological by year/Negligible by file number

**210-03 MOVED; SEE
2400.003
APPLICATION 07-09**

This record series consists of forms, issued by the agency to external vendors, which request service for typewriters/computers.

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
11/18/09**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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INFORMATION TECHNOLOGY SERVICES
ADMINISTRATIVE INFORMATION SYSTEMS

2500.01 Alumni Data Base System (Originals) (Hardcopy) (Electronic)

Dates: 1980 - 2005
Volume: Negligible/150 MB
Annual Accumulation: Negligible/150 MB
Arrangement: By ID sequence

This record series consists of a file created (from Student Module of the Ellucian Banner Enterprise Resource Planning) to provide data that contains alumni name, address, bio demographic data and degree information. The file is electronically delivered to the Foundation Office for processing/maintenance in their computer system.

Recommendation: Retain until the lapse of two years following revision or supersedence, then destroy in a secure manner and/or delete from the system providing all audits have been completed and no litigation is pending or anticipated.

**Disposition
Approved
11/18/09**

2500.02 Auxiliary Systems Housing System Application (Electronic)

Dates: 1992 - 2005
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: chronological--

This record series consists of housing records that are maintained in the Odyssey HMS database. Housing information includes housing contracts and room assignments.

Recommendation: Retain for five (5) years following the date of data entry, then delete from system providing all audits have been completed and no litigation is pending or anticipated. All computer tape/disc maintenance and preservation procedures are to be fully applied.

**Disposition
Approved
11/18/09**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
2500.03	Auxiliary Systems - Space Inventory File System (Electronic)	
	Dates: 1982 - 2005 Volume: 3 Cu. Ft. (3 tapes) Annual Accumulation: Neg Arrangement: Numerical and Chronological	
	This record series consists of a database of all buildings owned by the University and a breakdown of all space within the buildings.	
	Recommendation: Retain for twenty four (24) months from the date of data entry, then delete from the system providing all audits have been completed and no litigation is pending or anticipated. All computer tape/disc maintenance and preservation procedures are to be fully applied.	Disposition Approved 11/18/09
2500.04	Accounts Receivable Module of the Enterprise Resource Planning Database (Electronic)	
	Dates: 1992 - 2005 Volume: Negligible/ 150 MB Annual Accumulation: Negligible/25 MB Arrangement: Numerical	
	This record series consists of detail data (charges/credits) that are maintained in the Accounts Receivable Module of the Ellucian Banner Enterprise Resource Planning Database. Accounts receivable information includes: balances in students' accounts for registration fee and housing; daily transactions to these accounts; daily, monthly and end-of-semester balances of university accounts following receipts and disbursements; billing data for housing and registration; and refund data for housing security deposits.	
	Recommendation: Retain for six (6) years from the date of data entry, then delete from the system providing all audits have been completed and no litigation is pending or anticipated. All computer tape/disc maintenance and preservation procedures are to be fully applied.	Disposition Approved 11/18/09

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

**Application No. 07-09
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Item No.	Record Series Title, Description and Recommendation	Action Taken
2500.05	Financial Aids Module of the Enterprise Resource Planning Database (Originals) (Electronic)	
	Dates: 1979 - 2005 Volume: 297 GB Annual Accumulation: 9.9 GB Arrangement: Numerical-	
	<p>This record series consists of financial aid records that are maintained in the Financial Aid Module of the Ellucian Banner Enterprise Resource Planning Database. Financial Aid Information includes: Award letters, scholarship applications, verifications, student histories, etc.</p>	
	Recommendation: Retain for six (6) years following the date of data entry, then delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated. All computer tape/disc maintenance and preservation procedures are to be fully applied.	Disposition Approved 11/18/09
2500.06	Human Resource Module of the Enterprise Resource Planning (ERP) Database (Originals) (Electronic)	
	Dates: 1986 - 2005 Volume: Negligible Annual Accumulation: N/A Arrangement: File identification and weekly copy detail number	
	<p>This record series includes human resource records that are maintained in the Human Resources Module of the ERP Database. Human Resource information includes: payroll, budget/position control, and personnel reporting.</p>	
	Recommendation: Retain all database information on line for six (6) years following the date of data entry, then delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 11/18/09

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
2500.07	Program and System Design Files (Originals) (Hardcopy)	
	Dates: 1972 - Volume: 54 Cu. Ft. Annual Accumulation: 1.5 Cu. Ft. Arrangement: By component/procedure number	
	This record series consists of electronic records received to install, upgrade and operate computer systems and programs. The documentation includes release guides, user guides, upgrade guides, and ERD diagrams.	
	Recommendation: Retain in office for five (5) years (lapsed from the date of system replacement or obsolescence), then dispose of providing all audits have been completed if necessary, and no litigation is pending or anticipated.	Disposition Approved 11/18/09
2500.08	Property Control Administrative Information System (Database) (Electronic)	
	Dates: 1980 - 2005 Volume: 3 Cu. Ft. / 900 MB Annual Accumulation: Neg/ 150 MB Arrangement: File identification number and copy detail number	
	This record series was created to produce the necessary location reports, inventory listings, and final disposition of equipment reports used to account for the assignment and location of all physical assets under the control of Southern Illinois University-Edwardsville.	
	Reports generated by this system include: Monthly Detail File of Property; General Ledger Balance File of University Accounts for Purchase/Leasing of Equipment, and End-of-Year File of Property.	
	Recommendation: Retain Master File Monthly Detail File of Property Tape for two (2) years following the date of data entry, then delete from the system providing all audits have been completed if necessary, and no litigation is pending or anticipated. Retain Property Modification Files for two (2) years following the date of data entry, then dispose of or delete from the system providing all audits have been completed if necessary, and no litigation is pending or anticipated.	Disposition Approved 11/18/09

**APPLICATION FOR AUTHORITY
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(continued)**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
2500.09	Student Information Module of the Enterprise Resource Planning Database	
	Dates: 1972 - 2005 Volume: 444 GB Annual Accumulation: 12 GB Arrangement: Numerical	
	<p>This record series consists of a database which stores various academic records such as applications, external transcripts, ACT test scores, reference letters, etc.</p>	
	Recommendation: Retain for six (6) years following the date of data entry, then delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 11/18/09
2500.10	Telephone System Files - Auxiliary Systems (Computer Discs/Tapes) (Originals and Duplicates)	
	Dates: 1987 - Volume: 6 Cu. Ft/900 MB Annual Accumulation: Neg/150 MB Arrangement: Numerical/Chronological	
	<p>This record series includes files of transactions and billings of the University's telecommunications system. File records are updated from "transaction" discs/tapes received from vendors and within telephone system.</p>	
	Recommendation: Retain external vendor transaction files, monthly billing transaction files and selected records thereof for six (6) years following the date of generation, then delete from the system providing all audits have been completed and no litigation is pending or anticipated. All computer tape/disc maintenance and preservation procedures are to be fully applied.	Disposition Approved as Amended 11/18/09

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.

Record Series Title, Description and Recommendation

Action Taken

**INFORMATION TECHNOLOGY SERVICES
ADMINISTRATIVE OFFICE
(2600 Series)**

APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)

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Item No.	Record Series Title, Description and Recommendation	Action Taken
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TELECOMMUNICATIONS

2700.01 Equipment and Telephone Inventory Files (Originals) (Hardcopy)

Dates: 1984 -
Volume: 66 Cu. Ft.
Annual Accumulation: 2 Cu. Ft.
Arrangement: Chronological by year

Data include date of purchase, telephone number, location, department name, and description of item.

Recommendation: Retain in office for two (2) years following supersession by a new inventory, then dispose of provided all audits have been completed and no litigation is pending or anticipated.

**Disposition
Approved
11/18/09**

2700.02 Student Billing Files (Originals) (Hardcopy)

Dates: 1992 -
Volume: 2 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Chronological by year, Alphabetical by name

This record series consists of documents which include names of students, dates/locations/times of calls, and cost of calls.

Recommendation: Retain for six (6) fiscal years, then dispose of in a secure manner provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
11/18/09**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
2700.03	Call Detail Records (Originals) (Hardcopy) (Electronic)	
	Dates: 1992 - Volume: 10 Cu. Ft. / 3 GB Annual Accumulation: Negligible/150 MB Arrangement: Alphabetical by name, Numerical by file number	
	This record series consists of information that includes personal billing numbers (PBN), telephone account numbers, and billing data for faculty and staff of the university's telephone service.	
	Data include name of customer, address of customer, and PBN or telephone account numbers, date/location/time/length of calls.	
	Recommendation: Retain in office for six (6) years from the date of data entry, then destroy in a secure manner and/or delete from the system provided no litigation is pending or anticipated.	Disposition Approved 11/18/09
2700.04	Telephone Repair Logs (Originals) (Hardcopy) (Electronic)	
	Dates: 1987 - 1998 Volume: 4 Cu. Ft. / 1.2 GB Annual Accumulation: Negligible/ 150 MB Arrangement: Chronological by year	
	Data include date of repair, telephone number, description of service, and person contacted.	
	Recommendation: Retain in office for two (2) years, then dispose of or delete from the system provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 11/18/09

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

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Item No.	Record Series Title, Description and Recommendation	Action Taken
2700.05	Telephone Service Requests (Originals) (Hardcopy)	
	Dates: 1984 - Volume: 15Cu. Ft. Annual Accumulation: 1/2 Cu. Ft. Arrangement: Chronological by year	
	This record series consists of internal service requests to change telephone numbers, add/remove/repair telephones, or transfer telephones from location to location.	
	Data include date of service, telephone number, location of phone, description of work performed.	
	Recommendation: Retain in office for six (6) years then dispose of providing all audits have been completed and no litigation is pending or anticipated.	Disposition Approved 11/18/09

APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
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Application No. 07-09
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Item No.	Record Series Title, Description and Recommendation	Action Taken
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**PROVOST AND VICE CHANCELLOR FOR ACADEMIC AFFAIRS
SCIENCE, TECHNOLOGY, ENGINEERING AND MATHEMATICS (STEM)**

2800.001 Outreach Event Files

Dates: 1984-
Volume: 8 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of files which concern miscellaneous outreach events conducted at the University such as Science Fairs. The files consist of information regarding students, instructors, facilities, curriculum, equipment, budget, guest speakers, printed programs, and volunteers enlisted. Scholarship award information is forwarded to the SIUE Foundation Office.

Recommendation: Retain in office for three (3) years after date of generation, then transfer to the University Archives.
University Archives staff is to review and weed all such record series transfers under authority of this record disposition application if approved. Any and all accumulations of the series remaining after such Archives staff weeding are to be accessioned into the University Archives for permanent retention

**Disposition
approved as
amended
10/19/16**